

NOTICE OF AVAILABILITY

2019 Consolidated Funding Application

Through the New York State Consolidated Funding Application (CFA), a single application for multiple sources of state funding, New York State is soliciting applications for funding to advance the priorities of the Regional Economic Development Councils (REDC).

This announcement is meant to provide a general overview of the programs included in this year's REDC/CFA competition and does not contain all program requirements and guidelines. Full solicitations, application materials, and details for CFA workshops are available online at <http://regionalcouncils.ny.gov>. The funding solicitation opened on Wednesday, May 1, 2019 and applications will be accepted through the CFA until 4:00 pm on Friday, July 26, 2019.

This year, there are over 30 programs available through 10 state agencies, including Empire State Development; NYS Canal Corporation; NYS Energy Research and Development Authority; Environmental Facilities Corporation; Homes and Community Renewal; New York Power Authority; Office of Parks, Recreation and Historic Preservation; Department of State; Department of Environmental Conservation, and Council on the Arts. In an effort to provide the most appropriate state resources through this process, participating agencies will be able to review and potentially provide funding to a project that did not specifically apply to that program, if the materials submitted at time of application satisfy the requirements for that program and allow for fair review under the circumstances. In addition, all programs contained in this document will use regional distribution standards to ensure projects are funded throughout the state.

For more information or questions regarding the CFA, please contact the appropriate Empire State Development Regional Office covering the project area: <https://esd.ny.gov/regions>.

Funding is available through the following programs:

2019 Available Resources

Empire State Development: Up to \$242 million

- Up to \$150 million for ESD Grant Funds
- Up to \$75 million for Excelsior Jobs Program
- Up to \$2 million for Strategic Planning and Feasibility Studies
- Up to \$15 million for Market New York

New York State Council on the Arts: Up to \$6.75 million

- Up to \$5 million for Arts and Cultural Initiatives
- Up to \$1.75 million for Arts & Cultural Facilities Improvement Program – Mid-Size Capital Project Fund

Homes and Community Renewal: Up to \$26.2 million

- Up to \$20 million for New York State Community Development Block Grant Program
- Up to \$6.2 million for New York Main Street Program

Office of Parks, Recreation and Historic Preservation: Up to \$21.4 million

- Up to \$19.5 million for Environmental Protection Fund Grants Program for Parks, Preservation and Heritage (EPF)
- Up to \$1.9 million for Recreational Trails Program

Department of State: Up to \$21 million

- Up to \$15 million for the Local Waterfront Revitalization Program
- Up to \$2 million for the Brownfield Opportunity Area Program
- Up to \$4 million for Local Government Efficiency Program

New York State Canal Corporation: Up to \$1 million

- Up to \$1 million for the Canalway Grants Program

New York State Energy Research and Development Authority: Up to \$40 million

- Up to \$10 million for Energy Efficiency Programs
- Up to \$15 million for Net Zero Energy for Economic Development
- Up to \$15 million for Commercial and Industrial Carbon Challenge

New York State Power Authority: Up to 144 Megawatts

- Up to 144MW for the ReCharge NY Program

Department of Environmental Conservation: Up to \$85.7 million

- Up to \$11.7 million for the Climate Smart Communities Grant Program
- Up to \$70 million for the Water Quality Improvement Project (WQIP) Program
- Up to \$1 million for the Non-Agricultural Nonpoint Source Planning Grant Program
- Up to \$3 million for NYS DEC/EFC Wastewater Infrastructure Engineering Planning Grant Program

Environmental Facilities Corporation: Up to \$15 million

- Up to \$15 million for the Green Innovation Grant Program

Federal Industrial Development Bond Cap: Up to \$300 million

- Up to \$300 million for Industrial Development Bond Cap (IDBC)

Empire State Development

Empire State Development Grant Funds

Funding Available: Up to \$150 million

DESCRIPTION:

ESD has \$150 million of capital grant funding from the Regional Council Capital Fund available for the State's Regional Economic Development Council Initiative, which helps drive regional and local economic development across New York State in cooperation with ten Regional Economic Development Councils ("Regional Councils").

Capital grant funding is available for capital-based economic development projects intended to create or retain jobs; prevent, reduce or eliminate unemployment and underemployment; and/or increase business or economic activity in a community or Region.

Grant funding will be allocated among the ten regions, each represented by a Regional Council. Funding decisions will be based on each Regional Council's development and implementation of a five-year strategic plan that sets out a comprehensive vision for economic development and specific strategies to implement that vision, coupled with New York State's economic growth priorities. Funding will be allocated to projects, including priority projects identified by the Regional Councils, identified as significant, regionally supported and capable of stimulating economic investment.

In addition, special consideration shall be given to projects supporting the Downtown Revitalization Initiative and Strategic Community Investment, Improving Access to Child Care, and Environmental Justice.

Funding will be awarded by the New York State Urban Development Corporation (d/b/a Empire State Development) at its discretion.

ELIGIBLE TYPES OF APPLICANTS:

Eligible Applicants include but are not limited to: for-profit businesses, not-for-profit corporations*, business improvement districts, local development corporations, public benefit corporations (including industrial development agencies), economic development organizations, research and academic institutions, incubators, technology parks, municipalities, counties, regional planning councils, tourist attractions and community facilities.

* If awarded funding, prior to ESD Directors' approval and execution of a contract with ESD, a not-for-profit corporation must be registered and up-to-date with filings with the New York State Office of the Attorney General's Charities Bureau and the New York State Office of the State Comptroller's VendRep System and must be prequalified in the New York State Grants Gateway.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Applicants applying for ESD Grant Funds should clearly describe the scope and budget for the "project" for which funds are being requested. For example, an Applicant may be planning a larger project that would include multiple phases, such as in the case of a major infrastructure project or redevelopment of a specific geographic area. However, the "project" for which funds are being requested via the CFA might consist of only one phase of the larger project. In such situations, the request for ESD Grant funds should be specific to the phase, NOT the overall multi-phase project.

Assistance generally falls into three categories:

1. Strategic Community Development Investment:

2. Business Investment:

3. Economic Growth Investment:

GRANT FUNDS MAY BE USED FOR:

- Acquisition of land, buildings, machinery and/or equipment;
- Demolition and environmental remediation;
- New construction, renovation or leasehold improvements;
- Acquisition of furniture and fixtures;
- Soft costs of up to twenty-five percent (25%) of total project costs; and
- Planning and feasibility studies related to a specific capital project or site.

INELIGIBLE ACTIVITIES:

The following types of expenses may be included in budgets but shall not be eligible for reimbursement by grant funds:

- Developer fees;
- Training;
- Residential development, although program funds may only be used for the commercial component of a mixed-use project; and
- Block grant projects or revolving loan funds

SUCCESSFUL APPLICANT REQUIREMENTS:

Because awards are offered as an incentive to undertake a project, the project should not begin, and expenses should not be incurred, before funding awards have been announced. Expenses incurred prior to submission of a CFA should not be included in CFA project budgets, nor should expenses that will be incurred after submission of a CFA but prior to an award announcement.

The amount of an award from ESD is based on a number of factors including, but not limited to, the project's alignment with the state and regional priorities, as well as the potential for direct and indirect job creation, direct and indirect fiscal benefit to the state and local governments, overall economic activity, community development and private investment. Generally, applicants should not apply for, nor will be considered for, more than twenty percent (20%) of the financing for any particular project based on the eligible total project cost. Typically, awards will be less than 20% of the eligible total project cost and the likelihood of winning an award improves as the percentage of ESD assistance is reduced and private investment or other sources are better leveraged. Exceptions to this limit may be made at the sole discretion of ESD in cases where it is found that a project or projects will have an unusual or extraordinary regional or statewide impact.

ESD requires that the Applicant contribute a minimum of ten percent (10%) of the total project cost in the form of equity contributed after the Applicant's acceptance of ESD's incentive proposal. Equity is defined as cash injected into the project by the Applicant or by investors and should be auditable through the Applicant's financial statements or accounts, if so requested by ESD. Equity cannot be borrowed money secured by the assets in the project or grants from a government source.

The Applicant must always disclose whether it is pursuing or intends to pursue multiple ESD funding sources, including grants, loans and tax incentives.

ADDITIONAL RESOURCES:

For more information, eligible Applicants should contact the local Empire State Development Regional Office. A complete list of the ESD Regional Offices can be found at <http://esd.ny.gov/RegionalOverviews.html>

Excelsior Jobs Program

Funding Available: Up to \$75 million

DESCRIPTION: The Excelsior Jobs Program, established in Chapter 59 of the Laws of 2010, provides job creation and investment incentives to firms in targeted industries such as biotechnology, pharmaceutical, high-tech, clean-technology, green technology, financial services, agriculture and manufacturing, not inclusive. Firms in these industries that create and maintain net new jobs or make significant financial investment are eligible to apply for up to four tax credits. The Program encourages businesses to expand in and relocate to New York while maintaining strict accountability standards to guarantee that businesses deliver on job and investment commitments.

Firms in the Excelsior Jobs Program may qualify for four, fully refundable tax credits. Businesses claim the credits over a multi-year period. To earn any of the following credits, firms must first meet and maintain the established job and investment thresholds.

The Excelsior Jobs Tax Credit: A credit of 6.85 percent of wages per new job to cover a portion of the associated payroll cost.

The Excelsior Investment Tax Credit: Valued at two percent of qualified investments.

The Excelsior Research and Development Tax Credit: A credit of 50 percent of the Federal Research and Development credit up to six percent of eligible research expenditures in NYS.

The Excelsior Real Property Tax Credit: Available to firms locating in certain distressed areas and to firms in targeted industries that meet higher employment and investment thresholds (Regionally Significant Project).

ELIGIBLE TYPES OF APPLICANTS: For-profit business entities including corporations, limited liability companies, partnerships, sole proprietorships.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Agriculture: agricultural production (establishments performing the complete farm or ranch operation, such as farm owner-operators, tenant farm operators, and sharecroppers) and agricultural support (establishments that perform one or more activities associated with farm operation, such as soil preparation, planting, harvesting, and management, on a contract or fee basis).

Back Office Operations: a business function that may include one or more of the following activities: customer service, information technology and data processing, human resources, accounting and related administrative functions.

Distribution Center: a large-scale facility involving processing, repackaging and/or movement of finished or semi-finished goods to retail locations across a multi-state area.

Entertainment Company: means a corporation, partnership, limited partnership, or other entity principally engaged in the production or post production of (I) motion pictures, which shall include feature-length films and television films, (II) instructional videos, (III) televised commercial advertisements, (IV) animated films or cartoons, (V) music videos, (VI) television programs, which shall include, but not be limited to, television series, television pilots, and single television episodes, or (VII) programs primarily intended for radio broadcast. Entertainment Company shall not include an entity (I) principally engaged in the live performance of events, including, but not limited to, theatrical productions, concerts, circuses, and sporting events, (II) principally engaged in the production of content intended primarily for industrial, corporate or institutional end-users, (III) principally engaged in the production of fundraising films or programs, or (IV) engaged in the production of content for which records are required under section 2257 of Title 18, United States Code, to be maintained with respect to any performer in such production.

Financial Services: "Financial services data centers or financial services customer back office operations" means operations that manage the data or accounts of existing customers or provide product or service information and support to customers of financial services companies, including banks, other lenders, securities and commodities brokers and dealers, investment banks, portfolio managers, trust offices, and insurance companies.

Life Sciences: means agricultural biotechnology, biogenerics, bioinformatics, biomedical engineering, biopharmaceuticals, academic medical centers, biotechnology, chemical synthesis, image analysis, marine biology, medical devices, medical nanotechnology, natural product pharmaceuticals, proteomics, regenerative medicine, RNA interference, stem cell research, medical and neurological clinical trials, health robotics and veterinary science.

Manufacturing: the process of working raw materials into products suitable for use or which gives new shapes, new quality or new combinations to matter which has already gone through some artificial process by the use of machinery, tools, appliances, or other similar equipment. "Manufacturing" does not include an operation that involves only the assembly of components, provided, however, the assembly of motor vehicles or other high value-added products shall be considered manufacturing.

Music Production: means the process of creating sound recordings of at least eight minutes, recorded in professional sound studios, intended for commercial release. Music Production does not include recording of live concerts, or recordings that are primarily spoken word or wildlife or nature sounds, or produced for instructional use or advertising or promotional purposes.

Scientific Research and Development: conducting research and experimental development in the physical, engineering, and life sciences, including but not limited to agriculture, electronics, environmental, biology, botany, biotechnology, computers, chemistry, food, fisheries, forests, geology, health, mathematics, medicine, oceanography, pharmacy, physics, veterinary, and other allied subjects. For the purposes of this article, scientific research and development does not include medical or veterinary laboratory testing facilities.

Software Development: the creation of coded computer instructions and includes new media; the application of information technology to traditional communications outlets, particularly through interactive modes such as the Internet, including video games, web search portals, interactive web-based content, and interactive advertising.

INELIGIBLE ACTIVITIES: A not-for-profit business entity, a business entity whose primary function is the provision of services including personal services, business services, or the provision of utilities, a business entity engaged predominantly in the retail or entertainment industry, other than a

business operating as an entertainment company as defined as defined above or a business entity engaged in music production, and a business entity engaged in the generation or distribution of electricity, the distribution of natural gas, or the production of steam associated with the generation of electricity are not eligible to participate in the program.

ADDITIONAL RESOURCES: Program Contact: 518/292-5240
<http://esd.ny.gov/BusinessPrograms/Excelsior.html>

Strategic Planning and Feasibility Studies

Funding Available: Up to \$2 Million

DESCRIPTION

ESD's Urban and Community Development Program promotes economic development in the State of New York by encouraging economic and employment opportunities and stimulating development of communities and urban areas. Total program funding of up to \$2 million is available for working capital grants of up to \$100,000 each to support 1) strategic development plans for a city, county, or municipality or a significant part thereof and 2) feasibility studies for site(s) or facility(ies) assessment and planning. Projects should focus on economic development purposes, and preference shall be given to projects located in highly distressed communities. In addition, special consideration shall be given to projects supporting Regional Economic Development Council the Downtown Revitalization Initiative and Strategic Community Investment projects. Each grant requires a minimum of 50% of total project costs in matching funds, which should include at least 10% of total project costs in the form of cash equity contributed by the Applicant organization. Funding will be awarded by the New York State Urban Development Corporation (d/b/a Empire State Development) at its discretion.

ELIGIBLE TYPES OF APPLICANTS:

- Cities
- Counties
- Municipalities
- Business Improvement Districts
- Local Development Corporations
- Not-for-profit Economic Development Organizations*

* If awarded funding, prior to ESD Directors' approval and execution of a contract with ESD, a not-for-profit corporation must be registered and up-to-date with filings with the New York State Office of the Attorney General's Charities Bureau and the New York State Office of the State Comptroller's VendRep System and must be prequalified in the New York State Grants Gateway.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Assistance is available in the following two categories:

- Preparation and development of strategic development plans for a city, county or municipality or a significant part thereof; and
- Studies, surveys or reports, and feasibility studies and preliminary planning studies to assess a particular site or sites or facility or facilities for any economic development purpose other than residential, though mixed-use facilities with a residential component are allowed.

INELIGIBLE ACTIVITIES: For Site Assessment and Site Planning grants:

- Residential development, although program funds may be used for a study involving a mixed-use project.

ADDITIONAL RESOURCES: For more information, eligible Applicants should contact the local Empire State Development Regional Office. A complete list of the ESD Regional Offices can be found at <http://esd.ny.gov/RegionalOverviews.html>.

Market New York

Funding Available: Up to \$15 Million

Description

Market New York is a grant program established to strengthen tourism and attract visitors to New York State by promoting destinations, attractions and special events. Funding is available for tourism marketing initiatives, capital/construction projects and the recruitment and/or execution of special events, including meetings, conferences, conventions, festivals, agritourism/craft beverage events, athletic competitions and consumer and industry trade shows. The Market New York program and each funded proposal will work to support the long-term strategic plans for economic growth as put forth by the Regional Economic Development Councils (REDCs). For the 2019-2020 Fiscal Year, up to \$15 million will be available through *Market New York*.

Funding is available for eligible projects that will create an economic impact by increasing tourism throughout the state. Grant funding will be allocated among the ten (10) REDC regions, based on each REDC's five-year strategic plan that sets out a comprehensive vision for economic development and specific strategies to implement that vision. REDC strategic plan information can be found at: <http://regionalcouncils.ny.gov/>.

There are two categories of funding available under *Market New York*, each with varying requirements. Up to **\$15 million total** is available for the following project categories:

- 1) **Regional Tourism Marketing (Working Capital) - \$7 million;**
(only minimum grant requests of \$50,000 or more will be considered); and
- 2) **Tourism Capital- \$8 million;**
(only minimum grant requests of \$150,000 or more will be considered).

*Applicants with projects that include both marketing and capital expenditures will need to meet the requirements and demonstrate separate matches for both funding tracks and clearly indicate this information in their CFA application. Also, select both capital and working capital in the CFA application when requested.

ESD reserves the rights to grant awards lower than the \$50,000 and/or \$150,000 minimum requested amounts based upon availability of funds available.

ELIGIBILITY REQUIREMENTS

Applicants must complete and submit a Consolidated Funding Application (CFA) which will be reviewed by Empire State Development (ESD) and the REDC. Projects that are statewide or multi-regional will be scored by the REDC where the project is mainly located headquartered, or by the REDC sponsoring the project.

Projects must clearly demonstrate in both the CFA application and the project plan that the project is tourism related. Projects that fail to establish a direct tourism impact will be determined ineligible and will not be scored.

Entities that may apply for funding include not-for-profit corporations, municipalities, Tourism Promotional Agencies (TPAs), public benefit corporations and for-profit companies. **Individuals, SUNY schools and NYS agencies are not eligible to apply for this grant.** Businesses must be certified in New York State. Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law and must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General and proof of tax-exempt status under the IRS code.

Note to Not-For-Profit Organizations:

Not-for-profit organizations who are successful in receiving grants must meet the following requirements prior to ESD Directors' approval and execution of a Grant Disbursement Agreement or Loan Agreement: 1) be prequalified in New York State Grants Gateway; 2) be registered and up-to-date with filings with the New York State Office of the Attorney General's Charities Bureau; and 3) be registered and up-to-date with the New York State Office of the State Comptroller's VendRep System. It is strongly advised that all Not-For-Profit organizations register with Grants Gateway upon application.

FUNDING CATEGORY INFORMATION

I. Regional Tourism Marketing (Working Capital)

Up to \$7 million

Only minimum requests of \$50,000 or more will be considered.

Any grant requests under \$50,000 will be found ineligible and will not be scored.

Applications will be accepted for projects that market New York State regional tourism destinations or attractions. Applicants must demonstrate how the tourism marketing project will promote and forward the tourism goals of the corresponding REDC's strategic plan, in addition to increased visitation or increase spending per visitor.

Successful tourism marketing projects will also complement the goals and strategies of I LOVE NY, namely to make New York State the destination of choice for families looking to create meaningful memories and those elements highlighted above in **Significant Tourism Initiatives**. Special measurement criteria include: increases in room nights, visitor frequency, visitor spending and length of stay. New York State will employ strategies to achieve these goals including television, digital, out-of-home and other advertising, activations at live events, international marketing, public relations efforts, social media engagement and other initiatives.

*Projects developed collaboratively between businesses and tourism promotion agencies (TPA) will be looked upon favorably.

*Please note that it is strongly suggested that applicants include a **project plan** outlining the specifics of the project, the budget and specifically how the grant funds and the grantee equity will be used as well as any other information that the applicant would like to share with the scoring teams. It is also strongly advised that applicants provide information that clearly and specifically addresses the Scoring Criteria listed later in these guidelines. The budget in the project plan should reflect the same total project costs indicated in the budget section of the CFA application.*

II. Regional Tourism Capital

Up to \$8 million

(only minimum requests of \$150,000 or more will be considered)

Any grant requests under \$150,000 will be found ineligible and will not be scored.

Applications will be accepted for projects that include plans to expand, construct, restore or renovate New York State tourism destinations and attractions. Applicants must demonstrate how the tourism capital project will work to promote and forward the tourism goals of the corresponding REDC's strategic plan, in addition to increased visitation and visitor spending.

Successful tourism marketing projects will also complement the goals and strategies of I LOVE NY, namely to make New York State the destination of choice for families looking to create meaningful memories and those elements highlighted in **Significant Tourism Initiatives**. Special measurement criteria include: increases in room nights, visitor frequency, visitor spending and length of stay. New York State will employ strategies to achieve these goals including television, digital, out-of-home and other advertising, activations at live events, international marketing, public relations efforts, social media engagement and other initiatives.

*Projects developed collaboratively between businesses and tourism promotion agencies (TPA) will be looked upon favorably.

Projects that include a hotel (with more than 15 employees) as a principal function and/or a convention center are required to demonstrate compliance with Section 2879-b of Public Authorities Law regarding labor peace.

*Please note that it is **strongly suggested that applicants include a project plan** outlining the specifics of the project, the budget and specifically how the grant funds and the grantee equity will be used and any other information that the applicant would like to share with the scoring teams. It is also strongly advised that applicants provide information that clearly and specifically addresses the Scoring Criteria listed later in these guidelines. Additionally, the project plan budget should reflect the same expenditures costs and total project costs indicated in the CFA application budget section.*

MORE INFORMATION/ASSITANCE

For more information please contact the New York State Division of Tourism staff at RegionalTourism@esd.ny.gov.

New York State Council on the Arts

Arts and Culture Initiatives

Funding Available: Up to \$5 million

DESCRIPTION:

Arts and culture activities enrich and strengthen community, civic, and social life in New York State. Funding for arts and culture initiatives is available for eligible non-profit arts and culture organizations and local units of government through the Regional Economic Development Program (REDC). The New York State Council on the Arts (NYSCA) welcomes applications in FY2020 for requests to the categories described below.

This section of the CFA handbook includes the following information: 1) an **At-A-Glance** overview of all three funding opportunities available through the NYSCA REDC Initiatives; 2) **General Information and Eligibility Requirements** for all initiatives; 3) **Individual Category Descriptions** with specific grant requirements and eligibility criteria for each; 4) **Description of the Review and Scoring Process** for all categories; 5) **Post-Award Information**, including

payment timeline, reporting requirements and rules associated with accepting a grant award;
6) **Program Contact Information.**

NYSCA REDC Initiatives At-A-Glance

Total Funding Available: Up to \$5 million

NY State Arts Impact Awards

Program Purpose: to support up to ten large-scale public art projects conceived with a high level of artistic scope and ambition that demonstrate a commitment to collaboration across sectors and regions.

Workforce Programs

Workforce Investment

Program Purpose: to support the creation of new full- or part- time positions and the expansion of existing part-time positions to full-time. Grants are available in two categories:

- A. *2-Year Grants for New Positions (Multi-Year Contracts)*
- B. *1- Year Renewal Grants for Round 8 Grantees*

Arts Workforce Fellowships

Program Purpose: to support training programs for emerging arts practitioners from communities that have been historically underrepresented in the arts and cultural sector. Grants are available in two categories:

- A. *2-Year Grants for New Training Programs (Multi-Year Contracts)*
- B. *1-Year Renewal Grants for Round 7 & 8 Grantees*

GENERAL INFORMATION AND ELIGIBILITY REQUIREMENTS FOR ALL PROGRAMS:

- **Eligible Organization Types.** NYSCA awards grants to nonprofit organizations either incorporated in or registered to do business in New York State, Native American tribes in New York State, and units of local government in New York State. An organization must have its principal place of business located in New York serving the state's constituents. See individual program requirements for specific organizational eligibility by program.
- **NYSCA Agency-Wide Requirements.** Please click here to review the eligibility requirements for all NYSCA applicants: <http://www.arts.ny.gov/eligibility>.
- **Grants Gateway Prequalification.** Organizations must be Prequalified in Grants Gateway at the time of the CFA deadline to be considered for funding. Units of local government and Native American Tribes are exempt from the prequalification requirement. Submit your Grants Gateway Document Vault no later than one week before the application deadline. After this date, NYSCA cannot guarantee any issues that arise during review will be resolved by the deadline. NYSCA and Grants Gateway offer resources on how to register and Prequalify: <https://www.arts.ny.gov/application->

[guide/prequalify](#) and <https://grantsmanagement.ny.gov/get-prequalified>.

- **Review Criteria.** Applicants must meet the evaluative criteria detailed at the end of the NYSCA REDC Initiatives section of this guide, and meet all program-specific requirements detailed in the description of the category to which the organization is applying, below.
- **Regional Priorities.** NYSCA makes REDC Initiatives awards in all ten NYS regions. Panelists and staff will consider regional distribution as part of their application review.
- **New Grantees.** Priority will be given to competitive applicants that have not received NYSCA REDC Initiatives funding in previous years.
- **Request Amounts.** NYSCA rarely funds more than 25% of an organization's overall operating budget for the most recently completed fiscal year. Applicants should take this into consideration when determining a request amount.
- **Exemption from NYSCA Two-Program Limit.** An application made to a NYSCA REDC Initiatives opportunity is exempt from NYSCA's two-grant request limit per applicant per year (however, applicants may not request support for a project for which they are already seeking support through another NYSCA program – see below).
- **One NYSCA REDC Initiative Application Limit.** Applicants may submit only one application to the NYSCA REDC Initiatives (either Cultural Impact Awards OR Workforce Investment OR Arts Workforce Fellowships). Organizations are not restricted from applying to other NYS agencies' REDC Initiatives or other NYSCA programs. Please review the resource guide materials for the other agencies thoroughly.

Ineligible Activities:

- **Multiple NYSCA Requests for the Same Project.** Applicants may not request funding for the same project through the FY2020 REDC Initiative and another FY2020 NYSCA grant program, including activities receiving continuing multi-year funding.
- **Fiscal Sponsorship.** Applicants may not apply through a fiscal sponsor.
- **Regranting.** Proposals involving regranting of funds are not eligible for support.
- **Capital Support.** Capital requests for equipment, design, feasibility studies or construction are not eligible for support.
- **Out of State Travel.** Out of state travel costs are not eligible for support.
- **Other Activities** not eligible for support are listed at <http://www.arts.ny.gov/eligibility>

INDIVIDUAL CATEGORY DESCRIPTIONS & REQUIREMENTS:

NY State Arts Impact Awards At-A-Glance

Program Purpose: to support the expansion of up to 10 large-scale, public arts projects conceived with a high level of artistic scope and ambition that demonstrate a commitment to collaboration across sectors, disciplines, and regions.

- **Grant Size:** \$100,000
- **Grant Term:** March 1, 2020 – February 28, 2021

GOALS:

Funding opportunities are available through NYSCA's NY State Arts Impact Awards for the

significant expansion of existing artistic projects designed to enhance and transform the cultural and economic vitality of New York State communities. Grants will support the scaling or touring of projects that have demonstrated a track record for successfully presenting or exhibiting bold artistic programming in their local communities in ways that both advance the artform and reach a broad constituency.

Organizations that have a proven track record of producing, presenting or exhibiting arts or cultural activities that relate to the distinctive sense of place of the community(ies) or region(s) where the activity occurs may request funds to expand these projects, whether by increasing audiences in the project's current location, or by bringing the project to new locations around New York State. Such projects may include visual, performing, literary, or traditional folk arts that are inspired by and express a community's experience of place.

Examples of the types of projects that would be eligible include (but are not limited to):

- Multi-day, interdisciplinary festivals;
- Mobile productions or exhibitions;
- Site-specific performances, exhibitions, or temporary art installations (or a combination thereof) that animate one or more underutilized public settings;
- Artistic events that include a significant interactive component for audience engagement and learning;
- Artistic events that directly engage local businesses and other partners or stakeholders in their production or presentation.

Successful proposals will demonstrate significant economic and community development impact that positions arts, culture and heritage at the core of local development and revitalization efforts. Competitive proposals will engage partners across disciplines and sectors, support artmaking of ambitious scope and scale, and produce artistic experiences that have the potential to reach expansive and diverse audiences. Projects that span multiple regions and hold the potential to draw substantial tourist interest to less-frequented areas, while maintaining a meaningful commitment to serving local communities are strongly encouraged. Successful applications will demonstrate an inclusive approach, engaging a variety of stakeholders as part of the proposed project.

Through NYSCA's REDC NY State Art Impact Awards, collaborative arts and cultural projects focused on economic and community development will help to:

- Generate cross-sector collaborative projects;
- Drive and support tourism through events that serve as destinations for visitors;
- Enhance resources for communities experiencing poverty, geographic isolation or other barriers to participation in or access to arts and cultural activities;
- Attract visitors to experience the cultural assets of the community;
- Broaden and encourage public access and participation in arts and culture;
- Expand business opportunities by harnessing the power of the creative economy;
- Develop new and catalytic initiatives to expand public participation in arts and culture;
- Bring public, private, and non-profit sectors together as partners with community members and artists, to strategically enhance local economy and sense of place.

Arts Impact Awards initiatives must cultivate and leverage local cultural assets, generating one or more of the following:

- Livability – quality of life;

- Expanded tourism to previously underutilized areas;
- New and increased revenue for local businesses;
- Job growth, especially in the area of artist compensation;
- Opportunities for local/regional artists to create, market or make a living from their art.

GRANT REQUIREMENTS

- **Grant Amount and Term.** \$100,000 grants for use over 1 year. Contracts will run from March 1, 2020–February 2021.
 - **NOTE:** Up to a six-month extension may be requested to spend down funds over a longer period if needed. Extensions will be approved on a case by case basis.
- **Eligible Applicants.** Nonprofit organizations, Native American tribes and local units of government may apply.
- **Ineligible Applicants.** Funds may not support events that are primarily food or beverage festivals or county fairs.
- **Purpose.** Funds will support direct expenses associated with the expansion of the production or exhibition of large-scale, temporary arts or cultural activities that, by design, take place in currently underutilized locations and venues, and have the potential to engage diverse audiences, attract tourists to new areas, and drive economic development across NY State. Projects that are state-wide or span multiple regions, and those that include partners from multiple sectors or disciplines are strongly encouraged.
- **Matching Requirement.** A 1:1 cash match is required on the full grant amount (in-kind services are not permitted). In no case will a NY State Arts Impact Award fund more than 50% of the total project cost.
 - Example: A \$100,000 grant must raise an additional \$100,000 toward the project.
- **Eligible Costs.**
 - Funds will support direct project expenses, including (but not limited to):
 - Artist fees
 - Site or equipment rental
 - Materials and supplies
 - Staff time dedicated to executing the project
 - Direct expenses incurred by partner organizations
 - Marketing and outreach
 - This category is open only to initiatives that are not part of a current NYSCA FY2020 request and not included in activities receiving continuing multi-year funding.
- **Ineligible Costs.** The following **are not** eligible for support:
 - Permanent public works of art
 - Proposals involving regranteeing of funds
 - Production support for broadcast/cablecast programming, film and media documentary.
 - Website design, equipment purchases or capital projects
 - General overhead
 - Out-of-state travel expenses and other ineligible expenses listed at <http://www.arts.ny.gov/eligibility>

APPLICATION REQUIREMENTS

Applicants must complete and submit a Consolidated Funding Application (CFA) which will be reviewed by NYSCA and the REDC for the primary region in which the project is located (or headquartered, if there is not a single project location).

Applicants will be required to respond to a series of questions in the CFA:

- detailing the project activities;
- demonstrating how arts and culture is a central component of the project and the mission of the applicant organization;
- addressing how the project aligns with the program goals/REDC priorities;
- explaining how the applicant has the institutional capacity to undertake the work; and
- outlining the potential benefit that will be derived for the organization, its audience, and the broader community.

Applicants will also be required to submit the following documentation:

1. **1-page Resume(s)** of key program consultant(s) and/or staff
2. **Current Organizational Chart** of lead organization including names and titles of all staff and board members
3. **Representative Work Samples** that showcase the artistic content of the initiative. Up to two video work samples of no more than three minutes each and/or stills. If Submitting stills, no more than 10 stills may be submitted. To provide videos and/or stills, please create a PDF document with a list of active hyperlinks and/or stills. Label each work sample with artist(s), title, year, and for visual arts initiatives, medium(s) and dimensions.
4. **Comprehensive Business and Marketing Plan** that outlines activities and outcomes to-date and describes plans for scaling those activities, including staffing responsibilities, projected costs and revenue (with explanations for how these figures are calculated), and a detailed plan for marketing and audience engagement locally and beyond.
5. **Letters of Partnership** and/or Memorandum of Understanding for all collaborators named as committed to the project in the proposal.
6. **Four-Year Operating Income and Expense Comparison**, including your three most recently completed fiscal years (audited or finalized) and your current fiscal year (projected). **For each year**, financial comparisons should detail:
 - a. types/amounts of earned/contributed income, and high-level expense categories;
 - b. both annual and accumulated surpluses/deficits below the operating lines;
 - c. balances of any designated reserve or endowment funds below the operating lines.
7. **Budget Notes** explaining any significant anomalies and plans for addressing structural or accumulated deficits (if applicable).
8. **RECOMMENDED: Letters of Support** from key stakeholders in the applicant's community.

Workforce Development Programs At-A-Glance

Workforce Investment

Program Purpose: to support the creation of new full- or part time positions and the expansion of existing part-time positions to full time.

A. Grants for New Positions

- **Grant Size:** \$37,500 - \$112,500, plus up to \$10,000 for resident artist projects
- **Grant Term:** March 1, 2020 – February 28, 2022 (*Multi-Year Contract*)
- **Matching Requirement:** 50% of the grant amount

B. Renewal Grants for Round 8 Grantees

- **Grant Size:** \$12,500 - \$37,500, plus up to \$10,000 for resident artist projects
- **Grant Term:** March 1, 2020 – February 28, 2021

- **Matching Requirement:** 150% of the grant amount

Arts Workforce Fellowships

Program Purpose: to support training and career development programs for emerging arts practitioners from communities that have been historically underrepresented in the arts and cultural sector.

A. Grants for New Programs

- **Grant Size:** \$45,000 - \$112,500, *plus* up to \$7,500 for organizational equity work
- **Grant Term:** March 1, 2020 – February 28, 2022 (*Multi-Year Contract*)
- **Matching Requirement:** 50% of the grant amount

B. Renewal Grants for Round 7 & 8 Grantees

- **Grant Size:** \$15,000 - \$37,500, *plus* up to \$7,500 for organizational equity work
- **Grant Term:** March 1, 2020 – February 28, 2021
- **Matching Requirement:** 150% of the grant amount

GOALS:

Funding opportunities are available through the REDC Workforce Programs for new and expanded positions in arts organizations and training programs for practitioners from historically underrepresented communities.

Through NYSCA's REDC Workforce Development Programs, arts and cultural organizations focused on economic and community development will help to:

- expand and diversify the arts and cultural workforce;
- develop and nurture a diverse next generation of arts and culture practitioners;
- create jobs in the arts and culture sector that will provide new opportunities for workers in communities across the state;
- use new and expanded positions to increase the capacity, quality, impact and efficiency of organizations, their programs, and their operations.

1) Workforce Investment

Workforce Investment support is designed to expand opportunities for workers of diverse backgrounds in the New York State arts sector, while enhancing the capacity of NYS arts and cultural organizations, and thereby strengthening the field as a whole. Grant awards will support ONE expanded staff position or ONE new staff position. Organizations with annual operating expenses under \$3,000,000 that meet the criteria below are eligible to apply. (Please note there is no limit on the organizational budget size for applications submitted in the Resident Artist focus area.) Applicants must demonstrate the critical need for the employee and provide a substantial sustainability plan to ensure continued employment after the grant term ends.

Diversification of the arts workforce and advancement of cultural equity and inclusion within arts organizations are at the core of NYSCA's REDC priorities, and competitive applications for the Workforce Investment program should reflect meaningful efforts to achieve these goals.

NYSCA recognizes that narrowly focused recruitment strategies and insufficient wages are often barriers to employment for groups that have been historically underrepresented in arts organizations. Applicants should actively consider this reality as they develop their proposed recruitment plans and compensation packages for new and expanded positions, and make the case for how their program will help to mitigate this barrier for groups that may otherwise be unable to participate in the arts workforce. At minimum, hourly financial compensation must meet or exceed New York State minimum wage requirements. Competitive proposals will detail how recruitment plans will reach a broad constituency and how the organization's hiring policies will increase, rather than restrict the number and types of candidates that will be competitive in the process. Applicants must specify the time commitment required for the position, and make the case for how the proposed compensation facilitates access to the opportunity for qualified individuals from low-income backgrounds.

Relatedly, inclusive and equitable organizational cultures are necessary to enable staff from historically underrepresented groups to grow and succeed in their professional roles. Applications must include plans that demonstrate the implementation of equitable recruitment and hiring practices and the efforts the organization has made and will pursue in the future to foster an inclusive working environment and organizational culture. Applicants should demonstrate how this position will contribute to the organization's larger goals relating to diversity and inclusion. Positions to be occupied by members of communities underrepresented in arts and cultural professions are strongly encouraged.

NYSCA defines diversity broadly, and recognizes that the nature of "underrepresentation" may have significantly different meanings across different communities, professions, and artistic disciplines. Applicants to this category are encouraged to define these terms clearly as they relate to their own organizations and regional or community circumstances, and explain how their proposed hiring efforts are designed to appropriately address the structural and cultural obstacles that have limited access and participation for those groups in their area of the arts workforce historically.

The Workforce Investment category includes two areas of support:

- A. **Grants for New Positions** (open to applications for entirely new or newly expanded positions for any applicant that did not receive Workforce Investment support in Round 8);
or
- B. **1-Year Renewal Grants for Round 8 Workforce Investment Grant Recipients**

A. GRANTS FOR NEW POSITIONS

GRANT REQUIREMENTS

- **Grant Amount and Term.** \$37,500 – \$112,500 total grants to be awarded evenly over two years through equal annual ("multi-year") contracts. For example, for a \$40,000 multi-year grant, the first-year grant period amount would be \$20,000 and the second-year grant period amount would be \$20,000. (Grants would require two one-year contracts commencing March 2020 and ending February 2021, and commencing March 2021 and ending February 2022, respectively.)
 - **NOTE:** Up to a six-month extension may be requested to spend down funds over a longer period if needed. Extensions will be approved on a case by case basis.
- **Purpose.** Funds may support new full- or part-time positions, or the new expansion of an existing position from part- to full-time. Applicants may propose positions in any

department (administrative, artistic, education, curatorial, literary, community engagement, etc.), or may propose the creation of a resident artist position (please see specific requirements below).

- **Matching Requirement.** A 50% cash match is required on the full grant amount (in-kind services are not permitted).
 - Example: A \$37,500 grant would be required to raise an additional \$18,750 toward the salary and fringe associated with the new position.
- **Eligible Costs.**
 - Grant funds may fund only a SINGLE position. Applications that propose multiple positions will be deemed ineligible.
 - Grant funds may only be applied to base salary.
 - Exception for Resident Artist Positions Only: up to \$10,000 for artist discretionary funds (see description below for details).
 - Matching funds may be used to support additional salary requirements, as well as benefits, fringe, and employer-paid payroll taxes.
- **Ineligible Costs.**
 - Grant funds may not be requested for hiring costs, payroll taxes, fringe benefits, or overhead costs.
 - Funds may not support contracted employees or seasonal staff.
- **Spend-down Schedule.** Applicants must split the funds evenly across both years, with 50% of the total grant amount budgeted for Year 1, and 50% budgeted for Year 2.

APPLICANT ELIGIBILITY

- **Eligible Organizations.** Only nonprofit **arts and cultural organizations** incorporated and registered to do business in NY State may apply in this category.
- **Organization Size Requirements.**
 - **For General Positions** applicant's overall operational budget may not exceed \$3,000,000 as determined by the audit or financial statement provided in the organization's Grants Gateway Document Vault at the time of application.
 - **For Resident Artist Positions:** There is no limit on the organizational budget size for applications submitted for the NYSCA Resident Artist focus area.
- **Applications from previous Workforce Investment grantees.**
 - *Organizations with Round 8 Workforce Investment grants* (contracts begun in March 2019) are not eligible to apply for new 2-year positions in this round (but they may apply for 1-year renewals of their current grants – see below).
 - *Grantees from Rounds 7 and earlier* may apply for entirely new positions, or for the expansion of a Workforce Investment-funded part-time position to full-time.
 - Expansions may include positions that were funded as part-time through a prior Workforce Investment grant from Round 7 or earlier.
- **Other NYSCA Funding.** This category is open only to initiatives that are not part of a current NYSCA FY2020 request and not included in activities receiving continuing multi-year funding.

For the FY20 grant cycle, requests in the Workforce Investment category must be directed toward ONE of the following focus areas:

FOCUS 1

General Full-Time or Part-Time Position.

- Support will be considered for organizational positions in any department, including (but not limited to): Executive Director, General Manager, Development Personnel, Marketing

or Social Media Personnel, Community Outreach Personnel, Artistic Director or Associate (all arts disciplines), Curatorial Staff, Arts Education Personnel, Literary Personnel, Technical Staff, or Community Engagement Personnel.

- Organizations applying to this category must have average operating expenses below \$3 million for the three most recently completed fiscal years.

FOCUS 2

Resident Artist Position.

- Support is available for Resident Artist positions that will employ an individual artist to carry out public engagement projects in their own art forms and regions that highlight one or more of the REDC goals. Because NYSCA recognizes the power of artists to transform lives and make communities better places to live, both culturally and economically; this area of workforce investment is intended to encourage the creation of permanent resident artist positions in a variety of institutional and civic settings. It further seeks to demonstrate the long-term value of maintaining these resident artist positions within an organization. Examples of Resident Artist positions include, but are not limited to, city, town, county or regional Poet/Writer Laureates, Teaching Artists, Filmmakers, Composers, Visual Artists, Folklorists, Architects, Designers, and Choreographers.
- Applicants are encouraged to apply for residencies for artists with disabilities as well as for artists with or without disabilities who are skilled American Sign Language Interpreters. In the latter case, a lead applicant may wish to apply for a partnered residency in which an artist/ASL interpreter is shared with another organization, and may, for example, interpret for a deaf designer at one performing arts organization and perform or direct at another over the course of the residency.
- Applications for resident artist positions must have an artist already identified and include a letter of partnership from the artist outlining their proposed vision and expectations for the residency.
- Applicants may include up to \$10,000 in discretionary project support for the artist to use on an artistic project to be determined over the course of the residency in collaboration with the grantee organization.
- There is no limit on the organizational budget size for applications submitted in the Resident Artist focus area.

APPLICATION REQUIREMENTS

Applicants must complete and submit a Consolidated Funding Application (CFA) which will be reviewed by the New York State Council on the Arts (NYSCA) and the REDC for the primary region in which the project is located (or headquartered, if there is not one single project location).

Applicants will be required to respond to a series of questions in the CFA:

- detailing the project activities;
- demonstrating how arts and culture is a central component of the project and the mission of the applicant organization;
- addressing how the project aligns with the program goals/REDC priorities;
- explaining the organization's approach and commitment to diversity, equity, and inclusion generally and with respect to the proposed position;
- explaining how the applicant has the institutional capacity to take on and sustain the position; and

- outlining the potential benefit that will be derived for the organization, its audience, and the broader community.

Applicants will also be required to submit the following documentation:

1. **New Hire:** 1-page Job announcement and detailed job description for the new position
OR
Expanded Position: 1-page resume of staff member being expanded to fulltime and detailed job description of expanded position
2. **Current organizational chart** including names and titles of all staff and board members. Please note with an asterisk the new or expanded position for which funding is being sought
3. **1-2-page recruitment plan** including key search personnel conducting the search and hire timeline
 - a. Note: provide a recruitment plan even if the candidate has been identified
4. **Project Budget** (form provided), detailing the allocation of grant and matching funds for both years of the project.
5. **Four-Year Operating Income and Expense Comparison**, including the organization's three most recently completed fiscal years (audited or finalized) and your current fiscal year (projected). **For each year**, financial comparisons should detail:
 - a. Types/amounts of earned/contributed income, and high-level expense categories;
 - b. both annual and accumulated surpluses/deficits below the operating lines;
 - c. balances of any designated reserve or endowment funds below the operating lines.
6. **Budget Notes** explaining any significant anomalies and plans for addressing structural or accumulated deficits (if applicable).
7. **Artist Statement** (for Resident Artist positions only), written and signed by the proposed artist, outlining their plans and expectations for the work they will undertake during the course of the residency.
8. **RECOMMENDED: Up to three letters of support** and/or partnership

B. 1-Year Renewals for Round 8 NYSCA REDC Workforce Investment Grantees

A major goal of the Workforce Investment program is the creation of positions that can be sustained beyond the end of the period of NYSCA/REDC support to contribute to both the permanent expansion of the workforce in NY State, and the enhanced capacity of arts and cultural institutions in the long term. In that spirit, organizations that received a single year of support through the program in Round 8 will be eligible to apply for an additional year of partial funding to increase the likelihood that they will be able to sustain their new positions into the future.

- **Eligible Organizations.** Only Round 8 grantees may apply for 1-year renewals to help sustain the positions created with their recent grants.
- **Grant Amounts.** Applicants may apply for grants of up to 50% of their previous grant amounts.
 - For example, an organization that received a \$25,000 grant would be eligible to apply for a grant of \$12,500 for use over 1 year.
 - Renewals of resident artist positions may increase their grants by up to \$10,000 for discretionary project support for the artist to use on an artistic project to be

determined over the course of the residency in collaboration with the grantee organization, up to a maximum grant amount of \$47,500.

- **Matching Requirement.** A 1.5:1 match is required on the full renewal grant amount (A \$12,500 grant would require a \$18,750 match for use during the 1-year renewal grant period).
- **Eligible Costs.** Funds may not be used to support positions other than those created with Round 8 grant funds, and may only be applied to base salary (discretionary programming support, for Resident Artist positions).

****Applicants should keep in mind that review of renewal applications will be a competitive process and renewals or previously awarded grants are by no means guaranteed.***

APPLICATION REQUIREMENTS

Applicants must complete and submit a Consolidated Funding Application (CFA) which will be reviewed by NYSCA and the REDC for the primary region in which the project is located (or headquartered, if there is not one single project location).

Applicants will be required to respond to a series of questions in the CFA:

- reporting on the progress of the current grant to-date;
- detailing the project activities for a second year of support;
- demonstrating how arts and culture is a central component of the project and the mission of the applicant organization;
- addressing how the project aligns with the program goals/REDC priorities;
- explaining the organization's approach and commitment to diversity, equity, and inclusion generally and with respect to the proposed position;
- explaining how the applicant has the institutional capacity to retain the position for a second year and sustain it beyond the grant period; and
- outlining the potential benefit that will be derived for the organization, its audience, and the broader community.

Applicants will also be required to submit the following documentation:

1. **Current organizational chart** including names and titles of all staff and board members. Please note with an asterisk the new or expanded position for which funding is being sought
2. **Project Budget** (form provided), detailing the actual expenditures and use of matching funds for the current grant to-date, projections for the remainder of the current grant, and the allocation of proposed grant and matching funds for a second year of the project.
3. **Four-Year Operating Income and Expense Comparison**, including the organization's three most recently completed fiscal years (audited or finalized) and your current fiscal year (projected). **For each year**, financial comparisons should detail:
 - a. types/amounts of earned/contributed income, and high-level expense categories;
 - b. both annual and accumulated surpluses/deficits below the operating lines;
 - c. balances of any designated reserve or endowment funds below the operating lines.
4. **Budget Notes** explaining any significant anomalies and plans for addressing structural or accumulated deficits (if applicable).
5. **Updated Artist Statement** (for Resident Artist positions only), written and signed by the artist, discussing the progress of the residency to-date, and outlining their plans and

expectations for the work they will undertake during an additional year of the residency.

2) NYSCA REDC Arts Workforce Fellowships

The NYSCA REDC Arts Workforce Fellowships program is designed to prepare emerging professionals from diverse backgrounds for careers in the arts through innovative training, mentoring, and professional development programs. Recognizing the limited opportunities for underrepresented communities in the arts sector historically, these NYSCA Fellowships are intended to create new avenues for artistic and administrative career advancement. A successful Arts Workforce Fellowship Program will build confidence and experience for at least two emerging professional artists and administrators at a time by combining structured training with work experience, mentorship, job-shadowing, networking, and other professional development opportunities. Fellows should participate fully in the life of the organization, including opportunities to perform, create, curate or produce art. Fellowship programs that incorporate a “pipeline” that includes training and exposure in schools or arts organizations and on-going professional support are welcomed.

Proposed programs must include a clearly developed curriculum that the Fellows will follow throughout their participation in the program, and a staff member with dedicated responsibilities for coordinating program activities and liaising with other organizational staff and instructors on behalf of the Fellows. The NYSCA REDC Fellowships are not intended to supplement organizational staff capacity needs, and expected time commitments should not exceed 40 hours per week. Hands-on work experience can be a beneficial element of workforce training programs, however, such experience must be accompanied by an intentional, consistent, and well-defined training and evaluation, apprenticeship, or mentorship-based educational component. Administrative training programs can encompass any number of areas including: box office operations, front of house operations, bookkeeping for nonprofits, basic grant writing, marketing, and facilities management. Production training programs can encompass any number of areas, including: stage management, company management, curation and program coordination, art handling, design, technical operations (light board, stage craft, electrics, exhibition installation, etc.). Other specific training opportunities that meet overall category criteria will be considered on a case-by-case basis. Applicants may develop curricula that best suit their organizational strengths, but the substantive contents, goals, expectations of instructors and participants, required time commitment, compensation, recruitment plan, and appropriate prior experience level of participants must all be clearly detailed in the curriculum plan attached to the CFA application.

NYSCA defines diversity broadly, and recognizes that the nature of “underrepresentation” may have significantly different meanings across different communities, professions, and artistic disciplines. Applicants to this category are encouraged to define these terms clearly as they relate to their own organizations and regional or community circumstances, and explain how their proposed programs are designed to appropriately address the structural and cultural obstacles that have limited access and participation for those groups in their area of the arts workforce historically.

Considerations Regarding Recruitment, Compensation, Organizational Culture, and Inclusion

NYSCA recognizes that narrowly-focused recruitment strategies, program costs, and insufficient wages are often barriers to participation in training programs, internships, and entry-level

positions for groups that have been historically underrepresented in arts organizations. Applicants should actively consider this reality as they develop their proposed recruitment plans and compensation packages for fellows, and make the case for how their program will help to mitigate this barrier for groups that may otherwise be unable to participate in an arts workforce training opportunity. At minimum, hourly financial compensation must meet or exceed New York State minimum wage requirements. Competitive proposals will detail how recruitment plans will reach a broad constituency. They will specify the time commitment required for participants to complete the curriculum, and make the case for how the proposed compensation facilitates access to the program for interested individuals from low-income backgrounds.

Relatedly, inclusive and equitable organizational cultures are necessary to enable trainees from diverse backgrounds to grow and succeed through rigorous and positive fellowship experiences. Organizations seeking to support diverse groups of emerging practitioners may possess varying levels of experience in doing so, and may exist at varying stages of development along a journey toward an equitable and anti-racist organizational culture. With this in mind, applicants are encouraged to allocate up to \$7,500 of the grant funds to support a program of internal cultural equity work that best suits their individual organization's level of experience and local community context. Such work may include (but is not limited to) execution of a cultural audit to assess challenges and areas for improvement, equity training for staff and board members, or dedicated time for a senior member of staff to serve as a liaison to the Fellows and advance the institution's commitment to diversity, equity, and inclusion.

Over the course of the grant period, NYSCA will hold regular convenings with the expectation of participation from the Fellows, the grantee organization leadership, or both. These convenings are designed to provide opportunities for networking, cohort-based learning, program evaluation, and information sharing, and to offer space for facilitated discussion about successes and challenges navigating the program. NYSCA will solicit contact information for the Fellows from grantee organizations in order to extend direct invitations to these meetings at the start of the contract period.

For the FY20 grant cycle, requests in the NYSCA REDC Arts Workforce Fellowships category must be directed toward ONE of the following focus areas:

- A. **Grants for New Training Programs** (open to applications for entirely new training programs for any applicant that did not receive Workforce Readiness support in Rounds 7 or 8); or
- B. **1-Year Renewal Grants for Round 7 & 8 NYSCA REDC Workforce Readiness Grant Recipients**

A. GRANTS FOR NEW TRAINING PROGRAMS

GRANT REQUIREMENTS

- **Grant Amount and Term.** \$45,000 – \$120,000* total grants to be awarded evenly over two years through equal annual (“multi-year”) contracts. For example, for a \$40,000 multi-year grant, the first-year grant period amount would be \$20,000 and the second-year grant period amount would be \$20,000. (Grants would require two one-year contracts commencing March 2020 and ending February 2021, and commencing March 2021 and ending February 2022, respectively.)

- *Applicants may request up to a maximum of \$112,500 for direct programmatic expenses, plus up to an additional \$7,500 for work that advances the organization's efforts around diversity, inclusion, and cultural equity.
 - **NOTE:** Up to a six-month extension may be requested to spend down funds over a longer period if needed. Extensions will be approved on a case by case basis.
- **Purpose.** Funds may support the development, preparation, and execution of an arts workforce fellowship program for one-to-two cohorts of at least two participants each from groups that have been historically underrepresented in the nonprofit arts sector generally, and within the applicant's organization and community more specifically.
- **Matching Requirement.** A 50% cash match is required on the full grant amount (in-kind services are not permitted).
 - Example: \$45,000 grants would be required to raise \$22,500 toward the program.
- **Eligible Costs.**
 - Proposed programs must support at least two fellows participating simultaneously. Applications that propose a single fellowship will be deemed ineligible.
 - 30% or more of the overall program budget must be used to compensate participants.
 - Grant funds may only be applied to direct program costs and organizational equity work, including:
 - Wages and reimbursement for travel within NYS for program participants
 - Direct program costs such as program coordinator fees, instructor fees, seminar and other related event fees and recruitment costs;
 - Fees for equity trainings and related consultancy, etc., up to \$7,500.
- **Ineligible Costs.**
 - Arts Workforce Fellowship funds **may not** support contracted employees or seasonal staff.
 - These opportunities must not replace or supplement an applicant organization's existing staff.
 - Proposals involving regranting or scholarship of funds **are not** eligible for support.
- **Other Requirements.**
 - **Curriculum.** The applicant must propose a detailed curriculum including a dedicated training component that will be applied consistently over the course of the program.
 - **Staff Coordinator.** Fellows should be assigned a qualified and dedicated staff member in the organization to guide and support the Fellows through program and liaise with leadership and other departments throughout the organization as necessary and appropriate. Should the staff member depart the organization during the grant period, coordinator responsibilities must be reassigned to an equally-qualified individual.
 - **Maximum Hours.** The expected time commitment for Fellows may not exceed 40 hours per week.
 - **Compensation** should be appropriate for the level of experience required of the Fellowship and the work to be completed; at minimum, organizations must comply with NY State minimum wage requirements.
- **Spend-down Schedule.** Applicants must split the funds evenly across both years, with 50% of the total grant amount budgeted for Year 1, and 50% budgeted for Year 2.

APPLICANT ELIGIBILITY

- **Eligible Organizations.** Only nonprofit arts and cultural organizations incorporated and registered to do business in NY State may apply in this category.
- **Applications from previous Workforce Readiness grantees.**
 - *Organizations with Round 7 and 8 Workforce Readiness grants (contracts begun in March 2018 and 2019) **are not** eligible to apply for new 2-year grants in this round (but they may apply for 1-year renewals of previous grants – see below).*
- **Other NYSCA Funding.** This category is open only to initiatives that are not part of a current NYSCA FY2020 request or activities receiving continuing multi-year funding.

APPLICATION REQUIREMENTS

Applicants must complete and submit a Consolidated Funding Application (CFA) which will be reviewed by NYSCA and the REDC for the primary region in which the project is located (or headquartered, if there is not one single project location).

Applicants will be required to respond to a series of questions in the CFA:

- detailing the project activities;
- demonstrating how arts and culture is a central component of the project and the mission of the applicant organization;
- addressing how the project aligns with the program goals/REDC priorities;
- explaining the organization's approach and commitment to diversity, equity, and inclusion generally and with respect to the proposed program, and outlining the use of grant funds to advance those goals ahead of program implementation (if requesting);
- making the case for whether the applicant has the institutional capacity to take on and sustain the program; and
- outlining the potential benefit that will be derived for the organization, its audience, and the broader community.

Applicants will also be required to submit the following documentation:

1. **3-4-Page Curriculum Description and Program Announcement** detailing substantive program contents, program goals, anticipated activities for instructors and participants, required time commitment, compensation, recruitment plan, and appropriate prior experience level of participants, and a program announcement or fellowship agreement letter showing how those expectations (and any others) will be communicated to prospective and selected participants.
2. **1-2-Page Recruitment Plan** including key personnel conducting the search and timeline delineating the selection of program participants.
3. **Current Organizational Chart** including names and titles of all staff and board members. Please note with an asterisk the new or expanded position for which funding is being sought.
4. **1-Page Resume(s)** of key program consultant(s) and/or training staff
5. **Project Budget** (form provided), detailing the allocation of grant and matching funds for both years of the project.
6. **Four-Year Operating Income and Expense Comparison**, including the organization's three most recently completed fiscal years (audited or finalized) and your current fiscal year (projected). **For each year**, financial comparisons should detail:

- a. types/amounts of earned/contributed income, and high-level expense categories;
 - b. both annual and accumulated surpluses/deficits below the operating lines;
 - c. balances of any designated reserve or endowment funds below the operating lines.
 7. **Budget Notes** explaining any significant anomalies and plans for addressing structural or accumulated deficits (if applicable).
 8. **RECOMMENDED: Letters of support** and/or partnership.
-

B. 1-Year Renewals for Round 7 & 8 Workforce Readiness Grantees

A major goal of the NYSCA REDC Arts Workforce Fellowships program is the creation of training programs that can be sustained beyond the end of the period of NYSCA/REDC support to contribute to both the permanent expansion of the career pathways for diverse arts workers in NY State. In that spirit, organizations that received a single year of support through the NYSCA REDC Workforce Readiness program in Round 7 or 8 will be eligible to apply for an additional year of partial funding through the Arts Workforce Fellowships program to increase the likelihood that they will be able to sustain their new training programs into the future.

****Applicants should keep in mind that review of renewal applications will be a competitive process and renewals or previously awarded grants are by no means guaranteed.***

- **Eligible Organizations.** Only Round 7 and 8 Workforce Readiness grantees may apply for 1-year renewals to help sustain the programs created with their recent grants.
- **Program Focus Area.** Organizations with previous grants from either focus area may apply for an additional year of funding, but all applicants must explain how they will support emerging practitioners from historically underrepresented communities in order to be considered for support (regardless of the focus area of their original grant).
- **Grant Amounts.** *Applicants may request up to a maximum of 50% of their previous grant amounts for direct programmatic expenses, plus up to an additional \$7,500 for work that advances the organization's efforts around diversity, inclusion, and cultural equity.
 - For example, an organization that received a \$25,000 grant would be eligible to apply for a grant of \$12,500 for use over 1 year.
- **Matching Requirement.** A 1.5:1 match is required on the full renewal grant amount (A \$12,500 grant would require a \$18,750 match for use during the 1-year grant period).
- **Eligible Costs.**
 - Proposed renewals must either support a new cohort of participants or provide continued support for fellows from the first round (or some combination thereof), and must continue to support at least 2 participants simultaneously. Applications that propose a program for a single participant will be deemed ineligible.
 - 30% or more of the overall program budget must be used to compensate participants.
 - Grant funds may only be applied to direct program costs and organizational equity work, including:
 - Wages and reimbursement for travel in NY State for program participants
 - Direct program costs such as program coordinator fees, instructor fees, seminar and other related event fees and recruitment
 - Fees associated with equity trainings and related consultancy, etc., up to \$7,500.

- **Ineligible Costs.**
 - NYSCA REDC Arts Workforce Fellowships funds may not support contracted employees or seasonal staff.
 - Proposals involving regranteeing or scholarship of funds are not eligible for support.

APPLICATION REQUIREMENTS

Applicants must complete and submit a Consolidated Funding Application (CFA) which will be reviewed by NYSCA and the REDC for the primary region in which the project is located (or headquartered, if there is not one single project location).

Applicants will be required to respond to a series of questions in the CFA:

- reporting on the progress of the current grant to-date;
- detailing the project activities for a second year of support;
- demonstrating how arts and culture is a central component of the project and the mission of the applicant organization;
- addressing how the project aligns with the program goals/REDC priorities;
- explaining the organization's approach and commitment to diversity, equity, and inclusion generally and with respect to the proposed program, and outlining the use of grant funds to advance those goals ahead of program implementation (if requesting);
- making the case for how the applicant has the institutional capacity to retain the program for a second year and sustain it beyond the grant period; and
- outlining the potential benefit that will be derived for the organization, its audience, and the broader community.

Applicants will also be required to submit the following documentation:

1. **3-4-Page Curriculum Description and Updated Program Announcement** detailing substantive program contents, goals, anticipated activities for instructors and participants, required time commitment, compensation, recruitment plan, and appropriate prior experience level of participants, and a program announcement or agreement letter showing how expectations will be communicated to prospective and selected participants.
2. **Updated 1-2-Page Recruitment Plan** including key personnel conducting the search and timeline delineating the selection of program participants.
3. **Current Organizational Chart** including names and titles of all staff and board members. Please note with an asterisk the new or expanded position for which funding is being sought.
4. **1-Page Resume(s)** of up to 5 key program consultant(s) and/or training staff
5. **Project Budget** (form provided), detailing the actual expenditures and use of matching funds for the previous grant to-date, projections for the remainder of the current grant (if still in-progress), and the allocation of proposed grant and matching funds for an additional year of the project.
6. **Four-Year Operating Income and Expense Comparison**, including the organization's three most recently completed fiscal years (audited or finalized) and the organization's current fiscal year (projected). **For each year**, financial comparisons should detail:
 - a. types/amounts of earned/contributed income, and high-level expense categories;
 - b. both annual and accumulated surpluses/deficits below the operating lines;
 - c. balances of any designated reserve or endowment funds below the operating lines.

7. **Budget Notes** explaining any significant anomalies and plans for addressing structural or accumulated deficits (if applicable).
 8. **RECOMMENDED: Up to three Letters of support** and/or partnership.
-

CONTACT/ADDITIONAL PROGRAM INFORMATION:

Additional Resources:

For **program/grant request questions**, applicants should contact NYSCA REDC program staff at:

NYSCA.REDC@arts.ny.gov.

Application questions should be submitted via email to NYSCA.REDC@arts.ny.gov no later than July 15, 2019. Beyond this date, we cannot guarantee that program staff will be able to respond to inquiries before the application deadline. All inquiries should reference “CFA Question” and the organization name in the Subject line.

Click *Regional Priorities* at <https://regionalcouncils.ny.gov/> to view detailed information about the Regional Economic Development Councils.

For **technical (computer) questions** on the CFA online application, contact the CFA helpdesk at CFA-tech@ny.gov.

For **Prequalification questions**,

The Grants Gateway Team provides live help desk support for Grants Gateway users weekdays between 8:00 am and 4:00 pm at (518) 474-5595 or grantsgateway@its.ny.gov.

An after-hours support desk is available weekdays between 4:00 pm and 8:00 am for account lockouts and basic questions at (800) 820-1890 or helpdesk@agatesoftware.com.

Arts & Cultural Facilities Improvement Program – Mid-Size Capital Project Fund

Funding Available: Up to \$1.75 million

DESCRIPTION

Funding is available for eligible projects that propose to use capital improvements to enhance the quality, efficiency, and accessibility of arts and cultural organizations within New York State, thereby increasing the economic impact in the corresponding region as a result of increased visitation and visitor spending. Grant funding will be allocated among the ten (10) REDC regions, based on NYSCA’s programmatic criteria, and on each REDC’s strategic plan that sets out a comprehensive vision and strategy for economic development. REDC strategic plan information can be found at: <http://regionalcouncils.ny.gov/>.

Mid-Size Capital Fund At-A-Glance

Total Funding Available: Up to \$1.75 million

Grant Size: \$49,500 - \$150,000

Grant Term: March 2020 – February 2023

Program Purpose: Strong Capital Fund projects combine excellence in design with informed decisions which will positively affect the artistic quality and future sustainability of New York State arts and cultural organizations across the state. Competitive projects will:

- Improve the quality, efficiency, and accessibility of arts and cultural organizations;
- Strengthen tourism;
- Promote business development.

Funding Supports:

- Renovations and/or expansions of space(s) that are open to the public;
- Modifications to provide for sustainable, energy efficient spaces that would result in overall cost savings;
- Accessibility renovations;
- Technology and other equipment systems that would benefit the public.

ELIGIBILITY REQUIREMENTS

NYSCA Agency-Wide Requirements. Please click here to review the eligibility requirements for all NYSCA applicants: <http://www.arts.ny.gov/eligibility>.

Exemption from NYSCA Two-Program Limit. An application made to the NYSCA REDC Mid-Size Capital Fund is exempt from NYSCA's two-grant request limit per applicant per year (however, applicants may not request support for a project for which they are already seeking support through another NYSCA program).

Applicants MUST:

- be a **nonprofit arts and culture organization** registered in NY State (an organization must have its principal place of business located in New York serving the state's constituents);
- **be Prequalified in Grants Gateway at the time of the CFA deadline** to be considered for funding. Units of local government and Native American Tribes are exempt from the prequalification requirement. Submit your Grants Gateway Document Vault no later than one week before the application deadline. After this date, NYSCA cannot guarantee any issues that arise during review will be resolved by the deadline. NYSCA and Grants Gateway offer resources on how to register and Prequalify: <https://www.arts.ny.gov/application-guide/prequalify> and <https://grantsmanagement.ny.gov/get-prequalified>;
- show a viable plan to fundraise *at least* 50% of the total project cost from *non-state sources*;
- have secured a 1:1 match against the total grant request amount;
- own their space or hold a long-term lease (minimum 10 years remaining), excluding capital equipment requests;

- own their facility to apply for any exterior rehabilitation projects, such as roof replacement and façade restoration (exceptions may be made for critical exterior safety or accessibility upgrades on a case-by-case basis);
- be able to complete the project within three years of contract execution.

Applicants MAY NOT receive funds if they:

- received *any* funds through NYSCA's Arts and Cultural Facilities Improvement program (Large or Mid-Size) in the last two rounds;
- received funds *for this project* in the most recent NYSCA Facilities grant cycle or are applying for funds in that program in the current grant cycle;
- are applying through a fiscal sponsor;
- lease their facility from a religious organization or share their facility with a religious organization;
- are a public school district, public universities, or state agency, or an arts organization leasing their facility from such an entity.

Eligible Costs

The general purpose of this program is to fund capital expenditures which are defined as: funds spent to acquire/upgrade physical non-consumable fixed assets in order to maintain or increase the scope of operations. These include:

- renovation or expansion of leasehold improvements. For example:
 - renovation, expansion, or restoration projects for eligible buildings for developed projects with required permits and approvals, installation of elevators, wheelchair lifts, boilers, and HVAC systems, etc.
- acquisition of fixed capital equipment/capitally eligible equipment systems. For example:
 - purchase of major equipment to be used on the premises of the applicant's facility especially if it is essential to the production and/or presentation of an art form.
 - theatrical lighting or sound systems, gallery lighting, sprung flooring, assisted listening systems, large-type and Braille printers, theatre seats, projectors, and fire curtains.
 - museum collections storage systems.
 - such professional equipment may be requested for programs focused on professional training/rehearsal as well as arts education. For example, sprung flooring might be requested for a rehearsal space for professional dancers or dance education programs.
- acquisition of fixtures.
- soft costs of up to 15% of the total grant amount (*excluding design costs and organizational staff salaries*). These may include:
 - construction manager (CM) salaries, permits, fees, and general conditions;
 - insurance, payment and performance bonds;
 - FF&E/initial outfitting;
 - expeditor fees, testing, and controlled Inspection.

Ineligible Costs

- acquisition of land and/or buildings;

- new construction;
- developer fees;
- training;
- recapitalization/refinancing;
- expenses reimbursed from any other source or agency;
- food and/or beverages for consumption, including alcoholic beverages;
- legal fees, insurance/liability insurances and / or membership fees;
- any costs incurred for capital costs outside New York State;
- competition prizes, prize money and monies paid to participants;
- in-kind, donated, volunteer services (not reimbursable nor can they be used towards the match);
- fringe benefits (such as health insurance, retirement benefits and other non-mandated benefits);
- wayfinding signage (permanent signage produced for city, county, state roads);
- general operational/organizational staff salary expenditures (e.g. rent, utilities, etc.);
- residential development (although program funds may be used for the arts/nonprofit component of a mixed-use project);
- generators;
- office furniture, office shelving, stackable chairs, office computers and software, distance learning equipment, food service equipment, and telephones;
- musical instruments;
- soft costs in excess of 15% of the total grant request;
- Design studies or feasibility studies;
- grant-funded expenses incurred prior to the grant period start date of March 1, 2020.

NYSCA is more likely to support projects that meet at least one of the following priorities:

- Projects that improve, expand, or rehabilitate existing buildings to provide access for all;
- Projects that address known health and safety deficiencies;
- Projects that address issues of building stabilization;
- Projects from organizations that further cultural development in rural or minority communities;
- Projects that reduce an organization's operating costs;
- Projects that demonstrate environmental stewardship and/or sustainable building practices.

COMPLETING YOUR APPLICATION

APPLICATION REQUIREMENTS

Applicants must complete and submit a Consolidated Funding Application (CFA) which will be reviewed by the New York State Council on the Arts (NYSCA) and the REDC for the primary region in which the project is located (or headquartered, if there is not one single project location).

Applicants will be required to respond to a series of questions in the CFA:

- detailing the project activities;
- demonstrating how arts and culture is a central component of the project and the mission of the applicant organization;
- addressing how the project aligns with the program goals/REDC priorities;
- explaining how the applicant has the institutional capacity to undertake the work; and
- outlining the potential benefit that will be derived for the organization, its audience, and the broader community.

Applicants will also be required to submit the following documentation:

- **A detailed project plan**, including a timeline, detailed cost estimates and project budget (including projected or actual sources of matching funds), design and construction documents (if applicable), and key staff and consultant CVs;
- **A projected itemized project budget** (form provided), detailing anticipated grant expenditures, use and source of matching funds, and breakdown of soft versus hard costs;
- **A three-year operating income and expense comparison**, including your two most recently completed fiscal years (audited or finalized) and your current fiscal year (projected). **For each year**, financial comparisons should detail:
 - types/amounts of earned/contributed income, and high-level expense categories;
 - both annual and accumulated surpluses/deficits below the operating lines;
 - balances of any designated reserve/endowment funds below the operating lines;
- **Budget notes** to accompany both the itemized budget form and operating financials;
- **Documentation of property control** (deed or lease agreement);
- **Images** of the facility or property and of relevant previous work of proposed consultants.

MATCHING REQUIREMENTS

The combination of NYSCA and other State funds can support no more than 50% of overall project costs. **Applicants must be able to provide a 1:1 actual cash match to the grant request amount from non-state sources (funds must be secured at the time of application).** In-kind contributions and/or donated staff time are not eligible for the match requirement.

- Funds from any other New York State source (e.g. I LOVE NY Matching Funds, ESD or other NYSCA fund) are ineligible to be used for the match.
- If the information on the application regarding a project match does not show satisfactory demonstrated “match” for the program, the overall project may be deemed ineligible.

Applicants must be able to demonstrate how they will finance the remainder of the overall project (and the most competitive applications will be those that have already raise the majority of that financing). **Match Example:**

- *\$3 million project*
- *NYSCA request: \$100,000*
- *Cash match requirement (already raised): \$100,000*
- *Demonstrate feasible financing plan for remainder of the \$3 million, with at least \$1.5 million secured or to be raised from non-state sources.*

NYSCA reserves the right to require proof of the cash match at any time.

CONTACT/ADDITIONAL PROGRAM INFORMATION:

Additional Resources:

For **program/grant request questions**, applicants should contact NYSCA REDC program staff at:

NYSCA.REDC@arts.ny.gov.

Application questions should be submitted via email to NYSCA.REDC@arts.ny.gov no later than July 15, 2019. Beyond this date, we cannot guarantee that program staff will be able to respond to inquiries before the application deadline. All inquiries should reference “CFA Question” and the organization name in the Subject line.

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New York State Homes and Community Renewal

Community Development Block Grant Program

Funding Available: Up to \$20 million

Description:

The Community Development Block Grant (CDBG) Program is a federally funded program authorized by Title I of the Housing and Community Development Act of 1974. The CDBG Program is administered by the Office of Community Renewal (OCR) under the direction of the Housing Trust Fund Corporation (HTFC). For 2019, the OCR may make up to \$20 million available.

NYS CDBG funds provide **small** communities and counties in New York State with a great opportunity to undertake activities that focus on community development needs such as creating or expanding job opportunities, providing safe affordable housing, and/or addressing local public infrastructure and public facilities issues. The primary statutory objective of the CDBG program is to develop viable communities by providing decent housing and a suitable living environment by expanding economic opportunities, principally for persons of low and moderate income. The state must ensure that no less than 70% of its CDBG funds are used for activities that benefit low- and moderate-income persons. A low- and moderate income person is defined as being a member of a household whose income is less than 80% of the area median income for the household size. A principal benefit to low- and moderate-income persons requires at least 51% of the project

beneficiaries to qualify as low- and moderate-income.

Eligible Activities / Program Benefit Requirements:

NYS CDBG applicants must address and resolve a specific community or economic development need within one of the following areas: (1) Public Infrastructure (2) Public Facilities (3) Microenterprise (4) Community Planning.

1) Public Infrastructure

The NYS CDBG Public Infrastructure program consists of two funding activities: drinking water/ clean water/stormwater and public works. Eligible projects for NYS CDBG Public Infrastructure may include the repair or replacement of existing systems, construction of new systems, or expansion of existing systems into areas previously unserved that are in compliance with the NYS Smart Growth Public Infrastructure Act (Chapter 433 of the Laws of 2010) and principally benefit low- and moderate-income persons. Under the Public Infrastructure category, the benefit to low- and moderate-income persons is most commonly achieved through an area benefit. For more information regarding National Objective Compliance, refer to the Application Guidance located on the HCR website: <https://hcr.ny.gov/community-development-block-grant>.

2) Public Facilities

The NYS CDBG Public Facility program activities include, but are not limited to, structures to house or serve special-needs populations; senior services; child care centers; removal of architectural barriers for the disabled (installing lifts, automatic doors, ramps, etc.); sidewalks; and multi-purpose buildings housing several qualifying activities where benefits are provided principally to low-and moderate-income persons. Removal of architectural barriers is not eligible in new construction. Under the Public Facilities category, the benefit to low- and moderate-income persons is achieved most commonly through a presumed benefit, which is applicable for seniors, the severely disabled, or abused children. National Objective compliance for public facilities can also be met through the Low/Mod Area (LMA) benefit. For more information regarding National Objective Compliance, refer to the Application Guidance located on the HCR website: <https://hcr.ny.gov/community-development-block-grant>

3) Microenterprise

The NYS CDBG Economic Development program through the CFA includes Microenterprise activities. Eligible applicants must apply on behalf of the business seeking CDBG funds. Awards are made to the applicant community and not directly to businesses. Eligible uses of NYS CDBG funds include, but are not limited to: financing of machinery, furniture, fixtures and equipment; working capital; inventory; and employee training expenses. Funds awarded under the Microenterprise activity may be allocated for all other uses, with the exception of construction or other improvements where Davis Bacon and Related Acts apply.

4) Community Planning

The NYS CDBG Planning program consists of two activities: Community Needs Assessments and Preliminary Engineering Reports. Any planning proposal must address an activity which, if implemented, meets at least one of two national objectives under the CDBG program. That is, it must be shown that either 1) at least 51% of the persons who would benefit from implementation of the plan are low- and moderate- income persons, or 2) the plan addresses a slum or blighted area in the community.

Activity Funding Limits:

<u>Public Infrastructure</u>	<u>Maximum</u>
Counties, Towns, Cities or Villages	\$750,000
*With NYS Co-Funding Initiative	\$1,000,000
Joint Applicants	\$900,000
*Joint w/Co-Funding Initiative	\$1,250,000
<u>Public Facilities</u>	
Counties, Towns, Cities or Villages	\$300,000
<u>Microenterprise</u>	
Counties, Towns, Cities or Villages	\$200,000
<u>Planning</u>	
Counties, Towns, Cities or Villages	\$50,000

Eligible Types of Applicants:

Eligible applicants are non-entitlement units of general local government (Villages, Cities, Towns or Counties), excluding metropolitan cities, urban counties and Indian Tribes that are designated entitlement communities. Non-entitlement areas are defined as cities, towns and villages with populations of less than 50,000, except those designated principal cities of Metropolitan Statistical Areas, and counties with populations of less than 200,000. The NYS CDBG program does not provide direct financial assistance to businesses. For a list of eligible communities, please visit: <https://hcr.ny.gov/community-development-block-grantselect Program Guidelines>.

Applicants may submit multiple applications up to the maximum per activity. The total amount requested by the applicant between the two categories of Public Infrastructure and Public Facilities cannot exceed the individual caps listed above for counties, cities, towns and villages, with the exception of single and joint projects that qualify under the higher threshold as described above. Applicants may request up to the maximums listed for Microenterprise regardless of any applications submitted for other categories of assistance. Applicants may also request up to the maximum listed for Planning regardless of any other applications submitted for any other categories of assistance. However, as noted above, demonstrated capacity to carry out each grant activity in a timely manner is a factor in the application review process, so funding requests should be determined with this in consideration.

Ineligible Activities:

The State CDBG Program deems any activity that is not included in the Housing and Community Development Act of 1974, as amended, ineligible. Generally, CDBG funding cannot be used for projects that involve buildings used for the general conduct of government business, general government expenses, or political activities with the exception of handicapped accessibility improvements to comply with the Americans with Disabilities Act (ADA). In addition, any project that does not present satisfactory evidence of compliance with a national objective will be considered ineligible and will not be considered for funding.

Additional Resources:

For more information, applicants should contact the Office of Community Renewal at New York State Homes and Community Renewal, 38-40 State St, Albany, New York 12207, call (518) 474-2057, email HCR_CFA@nyshcr.org or visit: <https://hcr.ny.gov/community-development-block-grant> and <https://hcr.ny.gov/community-development-block-grant-economic-development-program>

New York Main Street Program

Funding Available: Up to \$6.2 million

Description:

The New York Main Street (NYMS) Program was created by the Housing Trust Fund Corporation (HTFC) in 2004 to provide resources to assist New York's communities with Main Street and downtown revitalization efforts. Article XXVI was added to NYS Private Housing Finance Law in 2009 to formally establish the New York Main Street Program in statute. The NYMS Program is administered by the Office of Community Renewal (OCR) under the direction of the Housing Trust Fund Corporation.

NYMS provides resources to invest in projects that provide economic development and housing opportunities in downtown, mixed-use commercial districts. A primary goal of the program is to stimulate reinvestment and leverage additional funds to establish and sustain downtown and neighborhood revitalization efforts.

Eligible Types of Applicants:

Eligible applicants for NYMS program applications are:

- Units of Local Government; *or*
- Organizations incorporated under the NYS Not-for-Profit Corporation Law that have been providing relevant service to the community for at least one year prior to application.

Eligible Target Area:

All NYMS activities must be located in an eligible target area. Applicants must clearly identify how the target area meets each of the three components of the statutory definition of an eligible target area. Applications that do not address each of the three statutory criteria, or do not provide clear source documentation will be deemed ineligible. Please note, based on the statutory criteria there are areas within NYS that are not eligible; therefore vague or unclear responses cannot be interpreted to present an eligible target area.

Article XXVI of the Private Housing Finance Law indicates that an eligible target area shall mean an area:

(i) that has experienced sustained physical deterioration, decay, neglect, or disinvestment;
(ii) has a number of substandard buildings or vacant residential or commercial units;
and (iii) in which more than fifty percent of the residents are persons whose incomes do not exceed ninety percent of the area median income for the county or metropolitan statistical area (MSA) in which the project is located, or which is designated by a state or federal agency to be eligible for a community or economic development program.

Applicants are encouraged to identify well-defined Main Street areas to maximize the impact that the funds will have on the community. The proposed activities must be carried out in a program target area of generally no more than three contiguous blocks which has experienced sustained physical deterioration, decay, neglect, or disinvestment, and has a number of substandard buildings or vacant residential or commercial units.

Applicants are required to include a Target Area Map to identify the location of the proposed target area.

Eligible Activities

Applicants may propose one activity for a 2019 New York Main Street (NYMS) application. Four NYMS activities are available in the 2019 CFA New York Main Street application:

1. Technical Assistance Project

Applicants may request up to \$20,000 to complete a project that improves community or property owner readiness to participate in a future New York Main Street renovation activity. Examples of eligible NYMS-TA activities include, but are not limited to the projects described below. Please contact the Office of Community Renewal at 518-474-2057 or HCR_CFA@nyshcr.org to discuss project eligibility prior to applying.

- Building Reuse or Feasibility Analysis - Analysis of rehabilitation or adaptive re-use options for downtown, mixed-use building(s) to provide property owners with the resources necessary to make informed decisions regarding the feasibility of rehabilitation projects. These studies may include: historic and architectural analysis; building condition assessment; building code analysis; structural engineering study; proposed uses for the building including opportunities for upper story apartments; plan drawings; green technology potential; cost estimates; funding strategies, including historic tax credits; and pro-forma analysis.
- Design Guidelines - The importance of preserving downtown architecture must not be overlooked in repairing and renovating buildings for new occupants and uses. Design Guidelines should be an educational tool for property owners and provide technical assistance and practical recommendations for repairing and renovating downtown, potentially historic, building facades and storefronts. Proposals to produce Design Guidelines must provide clear community support, and a plan for formal adoption and implementation once produced.

Examples of completed NYMS-TA Projects are available for review online, here: <https://hcr.ny.gov/new-york-main-street-technical-assistance-nyms-ta-completed-projects>

2. Traditional NYMS Target Area Building Renovation Project

Applicants may request between \$50,000 and \$500,000 for Target Area Building Renovation Activities. Requests must not exceed an amount that can be reasonably expended in the identified target area, within a 24-month term.

- Building Renovation: Matching grants available for renovation of mixed-use buildings. Recipients of NYMS funds may award matching grants of up to \$50,000 per building, not to exceed 75% of the total project cost in a designated target area. Renovation projects that provide direct assistance to residential units may be awarded an additional \$25,000 per residential unit, up to a per-building maximum of \$100,000, not to exceed 75% of the total project cost.
- Streetscape Enhancement: Applicants may request up to \$15,000 in grant funds for streetscape enhancement activities, such as: planting trees, installing street furniture and trash cans, or other activities to enhance the NYMS target area.
 - Streetscape enhancement grant funds will be awarded only for activity ancillary to a traditional NYMS building renovation project and cannot be applied for on its own. NYMS Downtown Anchor or Downtown Stabilization applicants may not request Streetscape funds.

- Streetscape enhancement activities must be reviewed for eligibility and approved by HTFC prior to commencement of construction or installation.
- Streetscape activities must be completed within the proposed target area.
- Administration: Applicants may request up to 7.5% of the grant amount for salaries and other costs associated with the administration of the grant. The administrative funds must be requested at the time of application, and must be included within the maximum request amount.
- Soft Costs: Applicants may request funds to cover architectural and engineering work, required environmental testing and clearances, and filing fees. These expenses must be included in the per-building activity funding limits, require matching funds and may not exceed 18% of the NYMS renovation funds for a specific project. Project costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with NYMS funds. Funds for Soft Costs must be requested at the time of application, and must be included within the maximum request amount.

Funds for Administration and Soft Costs are available on a reimbursement basis, and will therefore be reviewed for eligibility prior to disbursement of funds. Applicants are not required to request NYMS program funds for Administration or Soft Costs, but are encouraged to identify alternate sources of funds for administrative expenses and soft costs. Additional funding commitments for administrative expenses and soft costs strengthen an application.

3. NYMS Downtown Anchor Project:

Applicants may request between \$100,000 and \$500,000 for a standalone, single site, “shovel ready” renovation project. NYMS Downtown Anchor Project funds are intended to help establish or expand cultural, residential or business anchors that are key to local downtown revitalization efforts through substantial interior and/or exterior building renovations. The NYMS Downtown Anchor Project funds may not exceed 75% of the Total Project Cost.

Applicants for NYMS Downtown Anchor Project funds must:

- Document a compelling need for substantial public investment and justify how the project qualifies as a Downtown Anchor.
- Document project readiness, as evidenced by funding commitments, developer site control, pre-development planning completed, and local approvals secured;
- Provide cost estimates to substantiate the request amount;
- Identify source(s) of available construction financing and matching funds;
- Demonstrate the importance of the project for the neighborhood, community and region;
- Provide a Business Plan and Market Analysis to demonstrate project viability.
- Administration: Applicants may request up to 5% of the grant amount for salaries and other costs associated with the administration of the Downtown Anchor Project grant. The administrative funds must be requested at the time of application, and must be included within the maximum request amount.
- Soft Costs: Applicants may request funds to cover architectural and engineering work, required environmental testing and clearances, and filing fees. These expenses must be included in the per-building activity funding limits, requires matching funds and may not exceed 18% of the NYMS renovation funds for the project. Project costs incurred for

work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with NYMS funds. Funds for Soft Costs must be requested at the time of application, and must be included within the maximum request amount.

Funds for Administration and Soft Costs are available on a reimbursement basis, and will therefore be reviewed for eligibility prior to disbursement of funds. Applicants are not required to request NYMS program funds for Administration or Soft Costs, but are encouraged to identify alternate sources of funds for administrative expenses and soft costs. Additional funding commitments for administrative expenses and soft costs strengthen an application.

4. NYMS Downtown Stabilization Project

Applicants may request \$100,000 to \$500,000 to complete a Downtown Stabilization Project. Funds are available to assist with environmental remediation and associated construction costs, as well as other innovative approaches to stabilizing and developing a downtown, mixed-use project. NYMS Downtown Stabilization Project funds may not exceed 75% of the total project cost.

NYMS Building Stabilization Project funds are available for projects that meet the goals identified above, including, but not limited to asbestos management (surveys, abatement design plans, air monitoring, etc.), soil vapor intrusion testing and mitigation, building stabilization construction activities (e.g. roof stabilization in conjunction with asbestos remediation) or other projects that identify or mitigate risks associated with other hazardous materials or remove obstacles to future redevelopment. Applicants must demonstrate local support, financial commitments and a compelling need for substantial public investment.

Please contact the Office of Community Renewal at HCR_CFA@nyshcr.org to discuss project eligibility prior to submitting an application.

New York Main Street (NYMS) Program Ineligible Activities

Please note: An applicant is encouraged to focus its efforts on one project type. For this reason, applicants may propose only one NYMS activity in an application.

Ineligible uses of NYMS funds include, but are not limited to: demolition; new construction; improvements to structures owned by religious or private membership organizations; improvements to municipally-owned buildings used for municipal purposes; the purchase of non-permanent fixtures, such as furnishings, appliances, electronics, and business equipment; general organizational operating expenses; capitalizing a revolving loan fund; site work or ancillary activities on a property, including septic systems and laterals, grading, parking lots, sidewalks, landscaping, fences, free standing signs, and general maintenance. General planning activities are not eligible under the four NYMS program activities.

Costs that are not adequately justified or that do not directly support the project are not eligible for reimbursement with NYMS funds. Contact the Office of Community Renewal prior to submitting an application to discuss project eligibility, and review the NYMS Program Guide for more detailed guidance on NYMS program rules: <https://hcr.ny.gov/new-york-main-street>

Funding Priorities:

- Ready to go or “shovel ready” projects. Project readiness is best demonstrated by clear funding commitments for permanent and construction financing, documented site control, completed pre-development planning work, local approvals and administrative capacity.

- A proposed NYMS service area should include a mix of uses, such as residential, commercial, and civic buildings. Individual assisted buildings are not required to include both residential and civic or commercial spaces; however, applications should propose a comprehensive approach to strengthen both the commercial and residential sectors. Affordable housing in upper-floor spaces and on adjacent streets helps to strengthen the social and economic vitality of the business district. Incorporating residential units on the upper floors is strongly encouraged and those projects will receive priority consideration.
- For NYMS there is a preference for funding proposals where contiguous buildings will be assisted, maximizing the impact of the investment.
- Applicants able to successfully demonstrate broad local support and linkages between the proposed project and local planning and development efforts, and applicants documenting high percentages of committed matching and leveraged funds will receive the highest scores.

Matching Fund Requirements:

Each of the NYMS activities require matching funds, and only funds directly invested in eligible project activities are eligible as the required match. In kind match is not eligible, and costs incurred for ineligible activities or prior to award and contract execution are not eligible.

- New York Main Street Technical Assistance Project
NYMS-TA funds may reimburse up to 95% of the project cost, not to exceed \$20,000. The remaining 5% must be provided as a cash match, in kind match will not be accepted. A total project cost of at least \$21,053 must be presented to request a \$20,000 NYMS-TA grant.
- New York Main Street Building Renovation Project
The NYMS Program operates as a reimbursement program and the NYMS Program Guidelines require matching funds for each participating building project. NYMS funds may reimburse up to 75% of total, eligible project costs for general building renovations up to a maximum of \$50,000 per building, or up to \$100,000 for a building renovation project involving direct assistance to a minimum of two residential units.
- New York Main Street Downtown Anchor Project
NYMS Downtown Anchor Project funds are available to reimburse up to 75% of a total, eligible project cost not to exceed \$500,000 in NYMS Downtown Anchor Project funds. The minimum NYMS Downtown Anchor request amount is \$100,000.
- New York Main Street Downtown Stabilization Project
NYMS Downtown Stabilization funds are available to reimburse up to 75% of a total, eligible project cost not to exceed \$500,000. The minimum NYMS Downtown Stabilization Project request is \$100,000.

Additional Resources:

For more information, applicants should contact the Office of Community Renewal at New York State Homes and Community Renewal, 38-40 State St, Albany, New York 12207, call (518) 474-2057, email HCR_CFA@nyshcr.org

Office of Parks, Recreation & Historic Preservation

Environmental Protection Fund Grants Program for Parks, Preservation and Heritage (EPF)

Funding Available: Up to \$19.5 million

DESCRIPTION:

Title 9 NYCRR (sections 439.1 – 443.4) implements the Environmental Protection Fund (EPF) Act of 1993 (Title 9 of Article 54 of the Environmental Conservation Law), which created OPRHP's program for Parks, Preservation and Heritage Grants.

EPF Parks, Preservation and Heritage grant funding is available for the acquisition, planning, development, and improvement of parks, historic properties, and heritage areas located within the physical boundaries of the State of New York. Grants can fund up to 50% of the total eligible project cost; up to 75% if the project is located in a high-poverty area as defined below. Grant awards are capped at \$600,000. If the total project cost is greater than \$4,000,000, up to \$1,000,000 may be requested.

ELIGIBLE TYPES OF APPLICANTS:

- Municipalities
- State Agencies
- Public Benefit Corporations
- Public Authorities
- Not-for-profit Corporations that have tax-exempt status under the IRS code, are current with pertinent federal and state filings, and are pre-qualified in the Grants Gateway (see <https://grantsmanagement.ny.gov/resources-grant-applicants>).

The applicant must have an ownership interest in the project property:

- Where the applicant is not the property owner:
 - If the project is for planning only, the owner must grant the applicant any access necessary to complete the project.
 - If the project involves acquisition of the property, the application must include documentation of the owner's intent to sell, donate or transfer the property.
 - If the project involves improvement/development of the property, the owner must agree to sign the project agreement and any long-term protection document.
- If there are additional parties with an ownership interest in the property, including lien holders, all parties must agree to sign the project agreement and all lien holders must subordinate their interests to those of the State.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT AND LONG-TERM PROTECTION

REQUIREMENTS: Funding under the EPF Parks, Preservation and Heritage Grants program is available for the activities and programs described below. An application will be evaluated in all categories for which it qualifies. Applicants should be alert to the requirements for each category for which they wish the application to be considered.

To ensure the public benefit from the investment of State funds, properties acquired or developed with grant funds will receive long-term protections, either through parkland alienation law, conservation easements, or public access or preservation covenants recorded against the deeds.

- **Parks Program** - for the acquisition, development or planning of parks and recreational facilities to preserve, rehabilitate or restore lands, waters or structures for park, recreation or conservation purposes and for structural assessments and/or planning for such projects. Examples of eligible projects include: playgrounds, courts, rinks, community gardens, and facilities for swimming, boating, picnicking, hunting, fishing, camping or other recreational activities.
 - Public access covenants will be conveyed to the State for all park development projects undertaken by not-for-profit corporations.
 - Conservation easements will be conveyed to the State for parkland acquisition projects undertaken by not-for-profit corporations.
 - Parkland acquired or improved by a municipality must remain parkland in perpetuity. Information is available in the “Handbook on the Alienation and Conversion of Municipal Parkland,” located at <https://parks.ny.gov/publications/>, under Other Publications.

- **Historic Preservation Program** - to acquire, improve, protect, preserve, rehabilitate or restore properties listed on the State or National Register of Historic Places and for structural assessments and/or planning for such projects. All work must conform to the Secretary of the Interior’s Standards for the Treatment of Historic Properties and professional qualifications as defined in “Historic Preservation Terms and Professional Qualifications” available at <https://parks.ny.gov/grants/consolidated-funding-app.aspx>.
 - Properties not currently listed but scheduled for nomination review at the State Board for Historic Preservation meeting of either June 13, 2019 or September 5, 2019, are eligible to apply for funding. Questions about, or proposals for, listing on the State or National Register should be directed to the OPRHP National Register Unit at (518) 268-2213.
 - Preservation covenants or conservation easements will be conveyed to the State for all Historic Preservation grants.
 - Grant funds cannot be used for constructing contemporary additions on an historic property unless that work will provide universal access and/or eliminate code deficiencies for access/egress, such as an elevator or stair tower.
 - Multi-purpose additions to historic buildings and free-standing new construction on historic properties are not eligible for this grant program.
 - The expense of packing/storing of furnishings and artwork is allowed when required to complete an awarded project for grant-assisted interior work, such as installation of a fire suppression system, or plaster/decorative finishes.
 - For projects on sectarian properties, grant assistance can fund only costs necessary for historically accurate restoration to restore and preserve the historic integrity of the historic property, and only to the extent that those costs exceed the cost of basic rehabilitation. Information and instructions on how to structure/present a sectarian project can be found at <https://parks.ny.gov/grants/consolidated-funding-app.aspx>

- **Heritage Area Program** - for projects to acquire, preserve, rehabilitate or restore lands, waters or structures identified in the approved management plans for Heritage Areas designated under section 35.03 of the Parks, Recreation and Historic Preservation Law, and for structural assessments or planning for such projects. The designated Heritage Areas with approved Management Plans are listed at <https://parks.ny.gov/grants/heritage-areas/default.aspx>, which also provides links to maps showing exact Heritage Area boundaries.
 - To ensure a public benefit from the investment of state funds, appropriate long-term protections in the form of public access covenants, preservation covenants or conservation easements will be conveyed to the State for all Heritage Area grants.

ALLOWABLE COSTS:

All expenditures under these grants must be for goods and services procured in a manner so as to assure the prudent and economical use of public money in the best interests of the taxpayers of the State of New York, to facilitate the acquisition of goods and services of maximum quality at the lowest possible cost under the circumstances, and to guard against nepotism, favoritism, improvidence, extravagance, fraud and corruption. Such procedures may include, but are not limited to, competitive bidding, the solicitation of three price quotes, written requests for proposals, etc.

INELIGIBLE COSTS (will be eliminated from the total project costs in the grant application):

- Work completed prior to award is not eligible for reimbursement or for match. There are two exceptions:
 - Professional services and materials purchased or donated, but not installed, up to three years prior to the application deadline may be applied toward the matching share.
 - Acquisition costs retroactive no more than one year prior to the application deadline are eligible costs.
- Comprehensive Planning/Master Planning/Management Plans/Open Space Plans
- Application preparation.
- Contingencies, training, travel, OJT wages, working capital, marketing, taxes, interest, purchase of operational or maintenance equipment, salaries and wages, indirect costs, overhead or operating expenses, rent/lease are ineligible unless noted otherwise above.
- Fundraising events/expenses.
- Bond interest and associated fees. The interest associated with a Bond or Bond Anticipation Note (BAN) cannot be calculated into project cost, whether for reimbursement or local match.
- Lobbying expenses.
- Costs that are not adequately justified or that do not directly support the project.

ADDITIONAL RESOURCES:

Go to <https://parks.ny.gov/grants/consolidated-funding-app.aspx> to view forms and resources containing additional instructions concerning attachments to the application. For more information, contact the NYS Office of Parks, Recreation and Historic Preservation (OPRHP) Regional Grants Administrator (RGA) for your county (see list below).

Western New York Region

Kate Badgley
Beaver Island State Park
2136 West Oakfield
Grand Island, NY 14072
(716) 773-5292, FAX (716) 773-4150
kate.badgley@parks.ny.gov
COUNTIES: Allegany, Cattaraugus,
Chautauqua, Erie and Niagara

Finger Lakes Region

Kathleen McIsaac
2221 Taughannock Park Road
Trumansburg, NY 14886
(607) 387-7041, FAX (607) 387-3390
kathleen.mcisaac@parks.ny.gov

Central New York Region

Jean Egenhofer
Clark Reservation State Park
6105 East Seneca Turnpike
Jamesville, NY 13078-9516
(315) 492-1756, FAX (315) 492-3277
jean.egenhofer@parks.ny.gov
COUNTIES: Cayuga, Cortland, Madison,
Onondaga and Oswego

Mohawk Valley Region

Jean Egenhofer
Clark Reservation State Park
6105 East Seneca Turnpike
Jamesville, NY 13078-9516
(315) 492-1756, FAX (315) 492-3277
jean.egenhofer@parks.ny.gov

COUNTIES: Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming and Yates	COUNTIES: Fulton, Herkimer, Montgomery, Oneida, Otsego and Schoharie
<u>Long Island Region</u> Traci Christian Belmont Lake State Park PO Box 247 Babylon, NY 11702 (631) 321-3543, FAX (631) 321-3721 traci.christian@parks.ny.gov COUNTIES: Nassau and Suffolk	<u>Southern Tier Region</u> Kathleen McIsaac 2221 Taughannock Park Road Trumansburg, NY 14886 (607) 387-7041, FAX (607) 387-3390 kathleen.mcisaac@parks.ny.gov COUNTIES: Broome, Chemung, Chenango, Delaware, Schuyler, Steuben, Tioga and Tompkins
<u>New York City Region</u> Merrill Hesch NYS OPRHP Adam Clayton Powell, Jr. State Office Building 163 West 125 th Street, 17 th Floor New York, NY 10027 (212) 866-2599, FAX (212) 866-3186 merrill.hesch@parks.ny.gov COUNTIES: Bronx, Kings, New York, Queens and Richmond	<u>Mid-Hudson Region</u> Erin Drost NYS OPRHP Taconic Regional Office 9 Old Post Road Staatsburg, NY 12580 (845) 889-3866, FAX (845) 889-8321 erin.drost@parks.ny.gov COUNTIES: Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster and Westchester
<u>Capital Region</u> Danielle Dwyer Saratoga Spa State Park 19 Roosevelt Drive Saratoga Springs, NY 12866-6214 (518) 584-2000, FAX (518) 584-5694 danielle.dwyer@parks.ny.gov COUNTIES: Albany, Columbia, Greene, Rensselaer, Saratoga, Schenectady, Warren and Washington	<u>North Country Region</u> Sunshine Jenkins Keewaydin State Park Alexandria Bay, NY 13607 (315) 482-2593, FAX (315) 482-9413 sunshine.jenkins@parks.ny.gov COUNTIES: Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, and St. Lawrence

Recreational Trails Program (RTP)

Funding Available: Up to \$1.9 million

DESCRIPTION:

The **Recreational Trails Program (RTP)** provides funds to the States to develop and maintain recreational trails and trail-related facilities for both nonmotorized and motorized recreational trail uses. The RTP is an assistance program of the U.S. Department of Transportation's Federal Highway Administration (FHWA). In New York State, the RTP is administered by the Office of Parks, Recreation and Historic Preservation (OPRHP).

The RTP is a reimbursement program, meaning that the applicant must finance the project while requesting periodic reimbursements. RTP grants provide Federal funding of up to 80 percent of the total project cost with a minimum 20 percent matching share.

The RTP funding is authorized in phases by the Federal Highway Administration. Project budgets and schedules must account for phased authorizations to comply with State and Federal requirements including but not limited to the National Environmental Policy Act (NEPA),

State Environmental Quality Review Act (SEQRA), the “Uniform Act”, and “Buy America” requirements.

Projects must be legally and physically accessible to the public or be a portion of an identified trail project which, when completed, will be legally and physically accessible to the public.

- All applicants **must** read the *RTP Guide* available online at <https://parks.ny.gov/grants/recreational-trails/default.aspx> for a detailed description of the RTP grant administration procedures.

ELIGIBLE APPLICANTS:

- Municipalities
- Pre-Qualified Not-for-Profit Corporations (<http://www.grantsreform.ny.gov/Grantees>)

Note: There are several terms often used interchangeably to refer to the entity applying for RTP funding and undertaking the project (e.g. “contractor,” “grantee,” “project sponsor,” “recipient,” or “non-Federal entity”). In this document, *applicant* refers to the entity during the application stage, and *project sponsor* or *grantee* refers to the entity after a grant is awarded.

PROJECT PHASE AUTHORIZATIONS

All projects will require phased Federal Authorizations. Project expenses are not eligible for reimbursement until the Federal Highway Administration has authorized that phase. All project activities must progress by project phase and only as authorized. Each phase must be completed before obtaining authorization for the next phase. Project managers should anticipate project costs, funding sources and reimbursement schedule when budgeting for project expenses. The OPRHP Regional Grant Administrator will notify the grantee when they have received Federal authorization for each phase.

Below is an overview of each phase (See the RTP Guide for more detailed information):

1. **Preliminary Design:** Defines the general project location and design concepts. Identifies the project elements in relation to property boundaries and existing features. Includes but is not limited to the preparation of the RTP Design Report, environmental surveys and NEPA approval. The applicant’s project manager is responsible for completion of the Design Report. Any work which falls outside the scope of the RTP funded project should be excluded from the Design Report. Design Report documents and project approvals are progressed through the OPRHP. OPRHP will obtain necessary approvals through FHWA.
2. **Final Design:** Includes the preparation of final construction plans and specifications for the performance of construction work. All necessary permits should be secured during the Final Design Phase. Projects that do not include acquisition of real property may receive Right-of-way approval in Final Design Phase.
All RTP projects are subject to New York State Education Law (Articles 145, 147 & 148) regarding the preparation of plans and specifications. Plans which include the design of buildings and/or structures, such as bridges, tunnels, and scenic overlooks, must be stamped, signed and dated by a Licensed Professional, as defined in New York State Education Law.
3. **Right-of-way:** A Right-of-Way Clearance Certificate is required for every RTP project, which certifies that the project sponsor has the legal right to construct, maintain and operate the recreational trail for its intended use. It is the sponsor’s responsibility to provide proof of these property rights and demonstrate that all proposed work will occur within the project limits. Evidence to support the current right-of-way status is required with the RTP application.

All RTP projects must comply with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act), as amended. The acquisition of additional right-of-way itself does not need to utilize Federal funds for the rules to apply. When

Federal funds are present anywhere in the project, the rules of the Uniform Act apply. This applies to donations as well as purchases.

4. **Construction:** Allows the project to proceed to construction. Project sponsors must use their own documented procurement procedures which reflect applicable State, local, and tribal laws and regulations. Adequate supervision and inspection must be provided by the project sponsor to ensure projects are completed in conformance with design standards, construction contract documents, plans and specifications. OPRHP Regional Grant personnel will oversee administration of the project in accordance with applicable Federal laws, regulations and guidance during construction.

ELIGIBLE RTP PROJECTS:

All applicants must link their proposed project to one, or more, of the following categories:

- **Maintenance and restoration of existing trails** may include any kind of trail maintenance, restoration, rehabilitation, or relocation. This category may include maintenance and restoration of trail bridges or appropriate signage along a trail.
- **Development and rehabilitation of trailside and trailhead facilities and trail linkages** for recreational trails may include development or rehabilitation of any trailside or trailhead facility. Trailside and trailhead facilities must have a direct relationship with a recreational trail.
- **Purchase and lease of recreational trail construction and maintenance equipment** includes purchase or lease of any trail construction or maintenance equipment, including lawn mowers and trail grooming machines, provided the equipment is used primarily to construct and maintain recreational trails.
- **Construction of new recreational trails** may include construction of new trail bridges or installation of appropriate signage along a trail. Separate guidelines and approvals apply to the construction of trails on Federal land.
- **Acquisition of easements and/or fee simple title to real property** may include acquisition of old road or railroad bridges to be used as recreational trail bridges. However, 23 USC 206(g)(1) prohibits condemnation of any kind of interest in property (e.g. eminent domain). Therefore, acquisition of any kind of interest in property must be from a willing landowner or seller.
- **Assessment of trail conditions for accessibility and maintenance** authorizes specific projects to assess trails to determine the level of accessibility for people who have disabilities, and to assess trails for current or future maintenance needs.

TRAIL USE CATEGORIES

The RTP legislation requires that States use 30% of funds for non-motorized recreation, 30% for motorized recreation, and 40% for diverse recreational trail use. To provide flexibility in RTP project selection, the following categories are recognized for meeting this requirement:

- **Non-motorized use project:** A project primarily intended to benefit non-motorized recreational trail use, such as pedestrian, equestrian, or mountain biking. A project may be classified in this category if the project serves one or more mode of non-motorized recreational use. RTP projects serving various pedestrian uses (such as walking, hiking, wheelchair use, running, bird-watching, nature interpretation, backpacking, etc.) constitute a single use for the purposes of this category.
- **Motorized use project:** A project primarily intended to benefit motorized use. A project may be classified in this category if the project serves only one mode of motorized recreational use or more than one mode of motorized recreational use. A project may be classified in this category if the project also benefits some non-motorized uses (it is not necessary to exclude non-motorized uses), but the primary intent must be for the benefit of motorized use.

- **Diverse use project:** A project primarily intended to benefit more than one mode of recreational use, such as pedestrian and bicycling, or pedestrian and equestrian. A diverse use project may also include both motorized and non-motorized uses where motorized use is not the predominant use or when the motorized and non-motorized uses are separated by season, such as equestrian use in summer and snowmobile use in winter. Other examples include: a common trailhead project serving separate ATV and bicycle trails; or purchasing a machine to groom both snowmobile and cross-country ski trails.

PROJECT COST:

The applicant's funding request must not exceed 80% of the total eligible project cost including donated value of materials and labor. Grant funding will not be increased after an award is made.

The minimum and maximum funding guidelines are as follows:

- **Minimum** Federal funding request for maintenance, restoration, rehabilitation, development, construction, acquisition, and assessment projects: **\$25,000** (\$31,250 minimum total project cost).
- **Minimum** Federal funding request for equipment purchase-only projects: **\$5,000** (\$6,250 minimum total project cost).
- **Maximum** Federal funding request for all projects: **\$250,000** (\$312,500 minimum total project cost).

ELIGIBLE COSTS:

The total cost of each project may only include eligible costs. Eligible costs must be necessary and reasonable for the performance of the Federal award and be allowable under the principles outlined in the *Grant Management Cost Principles* outlined in the Code of Federal Regulations (CFR), Title 2: Grants and Agreements – Part 200 (2 CFR 200) Subpart E and Appendices. Refer to www.ecfr.gov for the full text.

INELIGIBLE COSTS:

Grantees may not use RTP funds to carry out any of the following activities.

- Condemnation of any kind of interest in property;
- Condemned Land as Matching Value: An RTP project may be located on land condemned with funds from other sources. However, it is not permissible to use the value of condemned land toward the match requirement for an RTP project;
- Planning project proposals, gap analysis studies, feasibility studies;
- Law Enforcement;
- Railroads: RTP projects will not be approved on railroad right-of-way on which the railroad tracks are in place, if trail users will traverse on or between the railroad tracks, except for providing railroad crossing in coordination with the railroad owner, operator, or State agency with jurisdiction over railroads;
- Roads: RTP funds may not be used for improvements to roads and/or bridges intended to be generally accessible by low clearance passenger vehicles (regular passenger cars), unless those roads/bridges are specifically designed for recreational use by the managing agency;
- Sidewalks: unless needed to complete a missing link between other recreational trails;
- Construction of any recreational trail on National Forest System land for any motorized use unless the land has been designated for uses other than wilderness by an approved forest land and resource management plan, or has been released to uses other than wilderness by an Act of Congress; and the construction is otherwise consistent with the management direction in the approved forest land and resource management plan;

- Construction of any recreational trail on Bureau of Land Management land for any motorized use unless the land has been designated for uses other than wilderness by an approved Bureau of Land Management resource management plan, or has been released to uses other than wilderness by an Act of Congress; and the construction is otherwise consistent with the management direction in the approved management plan;
- Upgrading, expanding, or otherwise facilitating motorized use or access to recreational trails predominantly used by non-motorized recreational trail users and on which, as of May 1, 1991, motorized use was prohibited or had not occurred.

ADDITIONAL RESOURCES:

Go to <https://parks.ny.gov/grants/> for additional information, including the *Recreational Trails Program Guide*, which contains an overview of RTP grant procedures. For more information, contact the NYS Office of Parks, Recreation and Historic Preservation (OPRHP) Regional Grants Administrator for your county (<https://parks.ny.gov/grants/contact.aspx>), or NYSOPRHPGrants@parks.ny.gov.

Department of State

Local Waterfront Revitalization Program

Funding Available: Up to \$15 million

INTRODUCTION:

The Department is soliciting applications through the New York State Consolidated Funding Application (CFA) under Title 11 of the Environmental Protection Fund Local Waterfront Revitalization Program (EPF LWRP) from eligible villages, towns, cities, and counties (with the consent and acting on behalf of one or more eligible villages, towns, cities) located along New York's coasts or designated inland waterways to advance the preparation or implementation of strategies for community and waterfront revitalization through the following grant categories:

- Preparing or Updating a Local Waterfront Revitalization Program (LWRP)
- Preparing an LWRP Component, including a Watershed Management Plan
- Updating an LWRP to Mitigate Future Physical Climate Risks
- Implementing a Local Waterfront Revitalization Program or a completed LWRP Component

ELIGIBLE APPLICANTS:

Eligible applicants are villages, towns, cities and counties (with the consent and acting on behalf of one or more eligible villages, towns, or cities) which are located along New York's coasts or inland waterways as designated pursuant to Executive Law, Article 42. The list of coastal waterbodies and designated inland waterways is available at <http://www.dos.ny.gov/funding/>. Applicants may also partner with counties or other organizations; however, only applications from eligible applicants will be evaluated for funding. If successful, all applicable procurement requirements must be met for such partnerships. Applications submitted by not-for-profit organizations (including, but not limited to, community-based organizations and neighborhood groups) and for-profit organizations are ineligible and will not be scored.

Eligible applicants working in partnership with counties or neighboring municipalities to address regional land use, waterfront revitalization, community development, and resource and/or

environmental issues or opportunities are encouraged to apply. Only the municipality identified as the applicant (one village, town, or city, or a county with the consent and acting on behalf of one or more eligible villages, towns, cities) will be awarded a contract. For applications submitted by a county, with the consent and acting on behalf of one or more villages, towns, or cities, the county is required to attach either a letter or resolution from each eligible municipality participating in the project which demonstrates their consent and support for the application.

- For general planning needed to advance any of the eligible activities listed below in Section V, an applicant must be a village, town, city, or county with the consent and acting on behalf of one or more eligible villages, towns or cities located along New York's coast or a designated inland waterway.
- For project-specific planning, feasibility, design, and/or marketing needed to advance eligible activities, an applicant must be a village, town, city, or county with the consent and acting on behalf of one or more eligible villages, towns or cities currently preparing an LWRP or LWRP Component or with an approved LWRP or LWRP Component. The proposed project must be located within the LWRP or LWRP Component boundary.
- For construction of projects needed to advance eligible activities, an applicant must be a village, town, city with an approved or substantially completed LWRP or relevant LWRP Component, or a county with the consent and acting on behalf of one or more eligible villages, towns, or cities with an approved or substantially completed LWRP or relevant LWRP Component. The proposed project must be located within the LWRP or LWRP Component boundary.

Applicants that have been awarded Department grants in the past should have demonstrated responsible contracting with the Department to be eligible for an award from this procurement.

FUNDING OPPORTUNITY:

The Department is making approximately \$15 million available to fund applications for the Local Waterfront Revitalization Program grants, with up to \$2 million of this for updates to existing LWRPs to mitigate future physical climate risks. Approximately \$9 million of this will be awarded for projects which are in, or primarily serve, areas where demographic and other relevant data demonstrate that the areas are:

- densely-populated and have sustained physical deterioration, decay, neglect, or disinvestment; or
- where a substantial proportion of the residential population is of low income, or is otherwise disadvantaged and is underserved with respect to the existing recreational opportunities

The maximum State assistance request per grant application is \$2 million. There is no minimum State assistance request amount.

ELIGIBLE ACTIVITIES:

New York State's approach to managing waterfront areas recognizes that while State government can promote development and provide protection for critical resources and environments, municipalities are in the best position to determine their own waterfront objectives and to adapt statewide approaches to specific local needs. Accordingly, the Department , pursuant to the State Waterfront Revitalization and Coastal Resources Act, has encouraged waterfront communities to prepare Local Waterfront Revitalization Programs (LWRPs).

An LWRP is a comprehensive land and water use plan that expresses a vision for a community's waterfront area, refines State Coastal Policy to reflect local or regional needs, and outlines the organizational structure, local laws, and projects necessary to implement the plan. The State Coastal Policies, set forth in the State of New York Coastal Management Program and Final Environmental Impact Statement, include enforceable coastal policies for managing the State's coastal resources by preserving and using coastal resources in a manner that balances natural resource protection and the need to accommodate economic development.

New York communities are faced with increased risks related to climate change, such as more intense and frequent rain events and greater coastal storm flooding. The development of LWRPs provide the opportunity for communities to address risks from flooding, sea level rise, and storm surge through the incorporation of resilience measures such as the preservation and use of natural protective features and local laws that can guide appropriate land use to better avoid impacts of these natural hazards.

By preparing an LWRP, community stakeholders have the opportunity to evaluate local waterfront resources, develop goals and a comprehensive strategy for the best use of those resources, propose future projects, and adopt a local program that will guide appropriate development. Development of LWRPs can also provide a regional framework to cooperatively address revitalization issues and advance ongoing and emerging state initiatives including, but not limited to, regional economic development, community resilience and sustainability, smart growth, public health outcomes and environmental justice.

The benefits of preparing, and implementing an LWRP include development of a consensus-driven, unified vision for the community; technical assistance from the Department; increased chances for obtaining financial assistance from public and private funding sources; and, coordinated review between federal, State, and local agencies as appropriate for proposed projects and government actions within the LWRP boundary.

Preparing or Updating a Local Waterfront Revitalization Program (LWRP)

Preparing a Local Waterfront Revitalization Program Component

Updating an LWRP to Mitigate Physical Climate Risks

Implementing a Local Waterfront Revitalization Program or Local Waterfront Revitalization Program Component

LWRP Component: Watershed Management Plan (Planning or Implementation)

FUNDING AND BUDGET GUIDANCE

Eligible Costs

Costs must be adequately justified and directly support the project. Proposed total project costs must be essential to project completion.

Grant funds may be used for the following costs:

Personal Services – including direct salaries, wages, and fringe benefits for activities related to project work by municipal employees, including project management, capacity

building, and grant administration. Fringe benefits must be outlined in the application and include the organizations' documented rate.

Non-Personal Services – including supplies and materials, travel, equipment, consultant/contractual services for direct project related costs, project management, capacity building, limited grant administration, and other goods and services.

Project management activities may include oversight and coordination of tasks needed to produce contract deliverables, coordination of Project Advisory Committee activities, consultant procurement and oversight, public outreach and providing technical assistance.

Capacity building may include: investment in existing staff, such as training, purchasing equipment or automating systems that will improve a community's ability to carry out projects and/or deliver programs funded under this RFA; or developing sustainable organizational capacity, such as through creating and recruiting new positions or enlisting external professional assistance to oversee revitalization efforts. Allowable activities under capacity building shall be within the scope of the RFA and undertaken in direct furtherance of the purpose of the grant application.

Grant administration activities may include preparation of reports, vouchers, contract related administration and compliance with grant record keeping and reporting requirements. Grant administration may not exceed 15% of the award amount or \$50,000, whichever is less.

Land acquisition – land acquired (e.g., purchase or donation) may only be used as local match for projects that include construction and where the construction occurs on the acquired property. Land must be acquired within three years prior to the contract start date or within the executed contract term. Land acquisition is not eligible for match for projects involving only design and engineering. A map identifying the property, and if available, a current appraisal report documenting the property value and a copy of the recorded deed conveying title and ownership must be submitted with the application.

Ineligible Costs

The following costs will neither be accepted as the required local match nor reimbursed with grant funds:

Indirect or overhead costs of the municipality such as rent, telephone service, general administrative support, computers, office equipment, general office supplies, general operations costs, membership fees, subscription costs.

Salaries and other expenses of elected officials whether incurred for purposes of project direction, execution, or legislation. However, volunteer services contributed by these officials to the project may be used as local match, provided that such services are outside the performance of their official duties.

Fund raising events/expenses

Federal funding

Other Environmental Protection Fund awards

Land acquisition (except as noted above)

Taxes, insurance, fines, deficit funding

Bond interest and associated fees. The interest associated with a Bond or Bond Anticipation Note (BAN) cannot be calculated into project cost, whether for reimbursement or local match.

Contingency costs

Lobbying expenses

Cost incurred prior to the contract start date

Costs that are not adequately justified or that do not directly support the project

Brownfield Opportunity Area Program

Funding Available: Up to \$2 million

INTRODUCTION

The Department of State (Department) is soliciting applications through the New York State Consolidated Funding Application (CFA) from eligible municipalities, community-based not-for-profit organizations, and NYC Community Boards to complete: (1) a Brownfield Opportunity Area (BOA) Nomination for a community affected by known or suspected brownfields, or (2) predevelopment activities within a BOA where a Nomination forms the basis for a designation by the Secretary of State (referred to here as a State-Designated BOA).

Brownfields include real property where a contaminant is present at levels exceeding the soil cleanup objectives or other health-based or environmental standards, criteria, or guidance adopted by New York State Department of Environmental Conservation that are applicable based on the reasonably anticipated use of the property, in accordance with applicable regulations. Known or suspected site contamination of real property can impede investment and redevelopment, making such property an economic and environmental drain on localities. Through the New York State Department of State BOA Program, these known and suspected brownfields are transformed from liabilities to community assets that generate businesses, jobs and revenues for local economies and provide new housing and public amenities.

The BOA program applies a neighborhood or area-wide approach, rather than the traditional site-by-site approach, to the assessment and redevelopment of known or suspected brownfields and other vacant or abandoned properties. The neighborhood approach enables communities to comprehensively assess existing economic and environmental conditions associated with brownfield blight and impacted areas; identify and prioritize community supported redevelopment opportunities; and attract public and private investment. The types of neighborhoods and areas where program resources are being applied include industrial/manufacturing, commercial corridors, residential, downtowns and waterfronts.

Through the BOA Program, communities are empowered to:

- Address a range of problems posed by multiple known or suspected brownfield sites;
- Build community consensus on the future uses for the area with an emphasis on strategic sites that are known or suspected brownfields;

- Establish sustainable goals and objectives for area-wide revitalization and for redevelopment of strategic sites;
- Identify and establish the multi-agency and private-sector partnerships necessary to leverage assistance and investments to revitalize downtowns, neighborhoods, and communities;
- Address environmental justice concerns and promote environmental equity in areas that may be burdened by negative environmental consequences.
- Engage in post BOA-designation activities to implement the community's vision.

It is expected that BOA Nominations developed through this program will be submitted to the Secretary of State in support of a request for BOA designation. BOA designation conveys certain benefits to an area that promotes redevelopment consistent with the vision, goals and objectives outlined and reported in the BOA Nomination. Applications for pre-development activities are expected to implement the vision, goals and objectives of the State-Designated BOA.

The BOA Program is a reimbursement program. State assistance awarded and paid through the BOA Program shall not exceed 90% of the total eligible project costs set forth in the application and approved by the Department of State (Department). Upon execution of a state-assistance contract, BOA Program grantees may request an advance payment of up to 25% of the total grant. Such advance payment requests are subject to the Department's approval and the availability of funds.

APPLICANT ELIGIBILITY

Eligible applicants are municipalities, community-based organizations and New York City community boards, as defined below:

Municipality – A municipality is defined as a city, village, town, county, local public authority, public benefit corporation, school district, or special improvement district, or an Indian nation or tribe recognized by New York State or the United States with a reservation wholly or partially within the boundaries of New York State.

Community Based Organization - A community-based organization must be a not-for-profit corporation under Section 501(c)(3) of the Internal Revenue Code at the time of application. In addition, its stated mission must be to promote reuse of brownfield sites or community revitalization within the geographic area in which the community-based organization is located; it must have 25 percent or more of its Board of Directors residing in the community in such area; and it must represent a community with a demonstrated financial need.

Community Board – A Community Board is unique to New York City and is defined and described in Section 2800 of the New York City Charter.

Joint Applications

Two or more eligible applicants are encouraged to work in partnership and jointly apply for funding for a BOA project that would improve an area of mutual interest or concern. Joint applicants should identify the municipality, community-based organization, or community board that the Department should recognize as the primary applicant for all purposes, including contract award.

FUNDING

State assistance awarded and paid to a grant recipient shall not exceed 90% of the total eligible cost of a BOA Nomination study or for costs associated with an eligible pre-development project.

A grant recipient is required to provide the remaining 10% of total project costs. State assistance payments will be made to a grant recipient based on actual expenditures for eligible project costs up to the amount of the grant awarded, but not to exceed 90% of the eligible expenditures documented.

The maximum grant award under this solicitation is \$300,000. There is no minimum State assistance request. Budgets should be fully justified and directly support all proposed activities.

ELIGIBLE ACTIVITIES

Two types of activities are eligible for funding as BOA projects:

- (1) Development of a BOA Nomination; and**
- (2) Undertaking Pre-Development Activities within a State-Designated BOA.**

(1) Development of a BOA Nomination

A BOA Nomination is a study that generally consists of a community vision, goals and strategies for revitalization of an area affected by a concentration of known or suspected brownfields. A full Nomination provides an in-depth and thorough description and analysis -- including an economic and market trends analysis -- of existing conditions, opportunities, and re-use potential for properties located in the proposed Brownfield Opportunity Area with an emphasis on the identification and reuse potential of strategic brownfield sites that may be catalysts for revitalization. An integral part of a Nomination is a description of key findings and recommendations to promote area-wide revitalization and redevelopment of strategic sites, including specific projects, initiatives, regulations, and other actions. Nominations may also include, as appropriate, detailed analyses and recommendations to advance redevelopment of strategic sites such as conceptual site design, cost estimation, artist renderings, development of pro formas, and marketing strategies.

Achieving revitalization goals requires broad community support, strong partnerships, and sufficient local and regional capacity to overcome obstacles. Therefore, the preparation of a BOA Nomination is expected to include robust community and stakeholder engagement as well as specific actions to develop partnerships and build the local capacity necessary to realize implementation of the plan.

Applicants may apply for funding to prepare or complete a BOA Nomination that contains all the elements necessary to support a request for designation of the BOA by the Secretary of State and must commit to making such a request when the BOA Nomination is deemed complete by the Department of State.

Nomination elements required for designation of a BOA can be found in the BOA Designation Guidance, which is available on the Department's website at https://www.dos.ny.gov/opd/programs/pdfs/BOA/BOA_Designation_Guidance.pdf.

(2) Undertaking Pre-Development Activities within a State-Designated BOA

Applicants may apply for funding for pre-development activities within a BOA that has been designated by the Secretary of State to advance the goals and priorities for revitalization and redevelopment of the area as expressed in the BOA Nomination completed for the area. A list of

Designated BOAs is available on the Department website:
<http://www.dos.ny.gov/opd/programs/brownFieldOpp/index.html>.

Eligible pre-development activities include:

- a) Development and implementation of marketing strategies;
- b) Development of plans and specifications;
- c) Real estate services;
- d) Building conditions studies;
- e) Infrastructure analyses;
- f) Zoning and regulatory updates;
- g) Environmental, housing and economic studies, analyses and reports; and
- h) Public outreach.

ELIGIBLE AND INELIGIBLE COSTS

Eligible Costs

Costs must be adequately justified and directly support the project. Proposed costs must be essential to project completion. Eligible costs include the following:

- (a) **Personal Services** – Personal services include direct salaries, wages, and fringe benefits of grantee employees for activities related to project work, including project management and grant administration. Fringe benefits must be outlined in the application and include the organization's documented rate.
- (b) **Non-Personal Services** – Non-personal services include consultant/contractual services for direct project related costs, project management, and limited grant administration; project related supplies and materials; necessary travel; and other goods and services required to complete the project.

Notes:

Project management activities may include, but are not limited to, oversight and coordination of tasks needed to produce contractual deliverables, coordination of steering committee activities, consultant procurement and oversight, public outreach, and developing or providing local and/or regional capacity to advance revitalization goals.

Grant administration may include, but is not limited to, activities undertaken to comply with grant budgeting, record keeping and reporting requirements, such as preparation and submission of payment vouchers and other documents required under the grant. Grant administration may not exceed 15% of the award amount.

Sub-contracts for consultant/contractual services should be competitively procured based on the applicable provisions of New York State General Municipal Law and additional requirements as described in this RFA.

Ineligible Costs

Ineligible costs include the following:

- (a) Indirect or overhead costs, such as rent, telephone service, general administrative support, computers, office equipment, general office supplies, general operations costs, membership fees, subscription costs.

- (b) Salaries and other expenses of elected officials, whether incurred for purposes of project direction, execution, or legislation.
- (c) Costs incurred outside of the contract term.
- (d) Costs that are not adequately justified or that do not directly support the project.

Local Government Efficiency Program

Funding Available: Up to \$4 million

DESCRIPTION:

The Local Government Efficiency (LGE) Grant program provides funding to local governments to reduce the cost of operations and service delivery, thereby limiting growth in property taxes. Projects can include local government reorganization, shared services, city or county charter revisions that include functional consolidation, and establishment of regional service delivery.

Local government efficiency projects must demonstrate potential financial savings through new or modernized operations and service delivery. Additional benefits may include improved organizational structures and public access to services.

ELIGIBLE APPLICANTS:

Counties, cities, towns, villages, special improvement districts, fire districts, public libraries, association libraries, public library systems - if they advance a joint application on behalf of member libraries, water authorities, sewer authorities, regional planning and development boards, school districts, and Boards of Cooperative Educational Services (BOCES) only to the extent they advance certain joint applications.

ELIGIBLE ACTIVITIES / PROGRAM FUNDING:

Local governments may apply for planning and implementation projects.

- The maximum funding for planning is \$12,500 for each local government involved in the project, not to exceed \$100,000.
- The maximum funding for implementation is \$200,000 for each local government involved in the project, not to exceed \$1,000,000.

Applicants are required to provide matching funds for all projects.

- For a planning project, the local cost share must be at least 50% of the total project cost.
- For an implementation project, the local cost share must be at least 10% of the total project cost. (For projects that implement a planning grant previously funded under the LGE program, the grant award for implementation will be increased by the amount of the local matching funds provided for the planning grant).

All grants are reimbursement grants. To receive full funding, awardees must demonstrate that the project has received all appropriate public consideration and referenda where required.

INELIGIBLE ACTIVITIES:

For this application, projects shall not include plans for a local government re-organization eligible to receive funding pursuant to the New York Department of State Local Government Citizens Re-Organization Empowerment Grant (CREG). CREG assists local governments with planning and

implementation actions for consolidation or dissolution pursuant to General Municipal Law 17-A. Applications for CREG funding can be submitted monthly. Please visit <http://www.dos.ny.gov/funding/> for more information on submitting a CREG application.

ADDITIONAL RESOURCES: <http://www.dos.ny.gov/lg/lge/index.html>

New York State Canal Corporation

Canalway Grants Program

Funding Available: Up to \$1 million

DESCRIPTION:

The “Canalway Grants Program” includes up to \$1.0 million in competitive grants available to eligible municipalities, and 501(c)(3) non-profit organizations along the New York State Canal System for canal related capital projects. The minimum grant request amount is \$25,000. The maximum grant request is \$150,000. Grant administration and pre-development costs shall not exceed 10% of the grant award amount. These costs may be used as part of the applicant match though, with no cap.

FUNDING PRIORITIES:

Projects proposed for Canal funding should demonstrate how they will achieve some or all of the following for the NYS Canal System including the Canalway Trail: expand public access, increase visitation and recreational use, stimulate private investment, improve services and amenities for Canalway land and water trail users, and enhance the connections between the canal and the corresponding region consistent with the Regional Economic Development Councils Strategic Plans <http://regionalcouncils.ny.gov/>

Priority in this round will be given to projects that encourage canal related tourism and stimulate private investment in tourism infrastructure

Priority will also be given to projects that enhance physical accessibility, employ principles of universal design and promote social inclusion.

Applicants are also encouraged to explore additional state agency funding sources for tourism marketing projects and/or programs, waterfront development, recreational access and historic preservation

In addition, proposed canal related projects that are consistent with the following state wide initiatives will be looked upon favorably:

Proposed projects that are part of the following initiatives will be looked upon favorably:

Downtown Revitalization Initiative and Strategic Community Investment

Environmental Justice

ELIGIBLE TYPES OF APPLICANTS:

- Municipalities
- Not-for-profit Corporations

Not-for-profit corporations are subject to New York State's Not-For-Profit Corporation Law. In order to apply under this program, a not-for-profit corporation must have proof of incorporation (or equivalent document) from the NYS Department of State or NYS Board of Regents, a charities registration number from the NYS Office of the Attorney General, and proof of tax-exempt status under the IRS code.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Eligible canal capital project expenses include, but may not be limited to: constructing new buildings, trail sections, vessels or structures; constructing additions or improvements that enlarge, expand, or enhance existing buildings, trail sections, vessels or structures; new systems in existing buildings, vessels or structures (HVAC, plumbing, electrical, mechanical, propulsion); substantial renovations or preservation of existing buildings, trail segments, vessels or other structures, including reconfigurations (removal or construction of walls, ceilings and flooring, windows, window frames, hulls); site preparation and improvements associated with a project (excavation, demolition, roadways, sidewalks, exterior lighting, sprinkler systems, utility hook-ups); acquisition of furnishings, fixtures, machinery and equipment with a useful life in excess of five years including signs and interpretive exhibits, constructing or rehabilitating docks or bulkheads for the purpose of public access to and from the Canal System; and/or hazardous waste clean-up associated with a project, retrofitting for energy efficiency

INELIGIBLE ACTIVITIES:

- Use of grant funds for land acquisition is prohibited (however the costs of acquisition may be used as a local match)
- Grant funds cannot be used to cover operating expenses

ADDITIONAL RESOURCES

For more information, eligible applicants should contact the New York State Canal Corporation, 30 South Pearl Street, Albany NY 12207 www.canals.ny.gov
<http://www.canals.ny.gov/community/grant.html>
procurement@canals.ny.gov

New York State Energy Research and Development Authority

Energy Efficiency Programs

Funding Available: Up to \$10 million available

NYS Energy Research and Development Authority - Flexible Technical Assistance

DESCRIPTION:

Program provides eligible New York State commercial, industrial, and institutional end users with objective and customized engineering analysis to help make informed energy decisions.

ELIGIBLE TYPES OF APPLICANTS:

FlexTech is funded on a first-come, first-served basis until funds are exhausted. Eligible Applicants are New York State electricity distribution customers of a participating utility company, who pay into the System Benefits Charge (SBC). The SBC may be a line item on the customer's utility bills.

Eligible Applicants include, but are not limited to:

- Commercial Facilities
- Industrial Facilities
- Public and Private K-12 schools
- Colleges and Universities
- Healthcare Facilities
- Agricultural Facilities
- Municipalities (Local Government)
- State Agencies & Government
- Not-for-profit Corporations

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Customers who are in need of a service provider may choose from NYSERDA's FlexTech Consultant list comprised of firms under NYSERDA contract who have been competitively selected to provide technical services across the state. The current list of FlexTech Consultants is available on NYSERDA's website at www.nyserda.ny.gov/flextech. Alternatively, customers may select their own service provider. Potential service providers include, but are not limited to: ESCOs, energy consultants, and engineering companies.

Eligible study categories include:

- Energy efficiency technical analyses
- Investigation of an advanced technology or system
- Creation of a long-term energy plan
- Investigation of deep energy savings
- Addressing energy as a component of process efficiency improvements through Engineer-on-Demand (for companies engaged in Lean, 6-Sigma, Total Quality Management or other continuous improvement activities)
- Investigation of Clean Heating and Cooling Systems including Air Source Heat Pumps, Ground Source Heat Pumps, Variable Refrigerant Flow, and Solar Heating and Cooling
- Investigation of distributed energy resources
- Use of simulation or infrastructure management tools to investigate energy saving opportunities in data centers

FUNDING PRIORITIES:

Eligible applications are accepted on a first-come, first-served basis until funds are exhausted.

INELIGIBLE ACTIVITIES:

- New facilities or those that have undergone substantial renovations, which have not been occupied for more than one year are not eligible for funding.
- Whole building, new construction, new equipment commissioning and retro-commissioning is not eligible for funding under this program.
- Detailed engineering design is not eligible for funding under this program.
- Applications seeking funding for single, multifamily, or Publicly Assisted Housing are not eligible under this program, but may apply under NYSERDA's one of NYSERDA's other programs.
- Applications seeking funds to support the sale or distribution of energy are not eligible for funding under this program except as defined in NYSERDA's CHP requirements.
- Equipment purchases are not eligible for funding under this program, except for metering equipment, software costs, and other data collection hard costs. To be eligible for funding, the equipment must be a necessary component of the funded study.
- No service provider may apply for more than 25% of the funds available under this program.

- Power quality, power factor, and power conditioning studies are not eligible for funding under this program.
- Utility billing error analysis is not eligible for funding under this program.
- Organizations that generate, transmit, or distribute energy for sale are not eligible for funding under this component of the program.
- Applications for generation studies without a heat recovery component are not eligible for funding.
- Applications for studies proposing to evaluate generation systems utilizing fuel sources other than natural gas are not eligible for funding.
- Applications seeking assistance with evaluating CHP systems for which the potential generation capacity would be larger than 50 MW or mechanical equivalent in total prime mover capacity, including back up, are not eligible for funding.
- Applications seeking assistance with evaluating CHP systems for which less than 75% of the electricity generated would be used on-site are not eligible for funding.

ADDITIONAL RESOURCES:

FlexTech Main Page: www.nyserda.ny.gov/flextech
1-866-NYSERDA

NYS Energy Research and Development Authority – Commercial New Construction Program

DESCRIPTION:

The Commercial New Construction Program (CNCP) provides technical and financial support to evaluate energy efficiency options and to promote the installation of energy-efficient electric equipment in new and substantially renovated commercial and industrial buildings.

ELIGIBLE TYPES OF APPLICANTS:

- State and local governments, businesses, not-for-profit and private institutions, public and private K-12 schools, colleges and universities, and health care facilities in New York State that are electricity customers of a participating utility company, and that pay, or will pay, into the System Benefits Charge, are eligible for incentives.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

- Projects for which an architect or engineer is preparing and certifying construction documents, including:
 - New buildings, or space within a new building.
 - Substantial renovations to existing buildings where the space has been, or will be, vacant for at least 30 consecutive days; or where there is a change of use (e.g. warehouse to office).

FUNDING PRIORITIES:

- Funding is available on a first-come, first-served basis until funds are exhausted;
- All applications to the CNCP are given equal consideration; and
- To ensure eligibility to participate in all services available through the CNCP and to maximize CNCP benefits, NYSERDA recommends that applications be submitted in the early schematic design phase or sooner.

INELIGIBLE ACTIVITIES:

- Applicants may not obtain incentives for the same energy efficiency measures through other NYSERDA programs or from programs offered by their local utility, unless specifically identified as acceptable in the PON;
- Ineligible projects include renovations and equipment upgrades at existing facilities where the facility will remain occupied during construction;
- Applicants who do not, or will not, pay into the System Benefits Charge through their local utility company at the site where the work is occurring are ineligible for participation in the program;
- Applicants may not obtain incentives for energy efficiency measures installed before an application is submitted and an CNCP incentive offer is issued by NYSERDA; and
- Energy-efficiency measures must be cost effective.

ADDITIONAL RESOURCES:

More information is available at <http://www.nyserderda.ny.gov/new-construction>.
1-866-NYSERDA

NYS Energy Research and Development Authority – Industrial and Process Efficiency Program**DESCRIPTION:**

The New York State Energy Research and Development Authority (NYSERDA)'s Industrial and Process Efficiency (IPE) Program provide performance-based assistance to manufacturers and data centers implementing energy efficiency and process improvements.

IPE assists commercial and industrial manufacturers and data centers in identifying ways to improve energy efficiency through capital investments and process improvements by offering capital incentives and practical technical assistance while recognizing the importance of sustaining reliability and maximizing uptime. IPE's goal is to help manufacturers and data centers increase product output and improve data processing as efficiently as possible. IPE focuses on projects that improve manufacturing process productivity and data center efficiency. For example, projects that increase throughput, reduce scrap, improve productivity, and prioritize and optimize server loads all have an energy component. Manufacturing, industrial, and data center facilities are eligible for participation in this program and are engaged through effective marketing, which includes key account strategies to build ongoing relationships as the primary energy efficiency resource for customers.

ELIGIBLE TYPES OF APPLICANTS:

All of New York State manufacturing, industrial and data center facilities that pay into the System Benefits Charge (SBC):

- Manufacturing facilities, or support operations such as warehousing and distribution sites:
 - Example: Plastics and Packaging, Chemicals, Petrochemicals, Metals, Paper and Pulp, Transportation, Biotechnology, Pharmaceutical, Food and Beverage, Mining and Mineral Processing, General Manufacturing and Equipment Manufacturers.
- Data Centers located in various business sectors:
 - Example: Manufacturing, Financial, Higher Education, Health Care, Commercial Real Estate, Service Provider, Co-location Facilities, Government, Legal, Insurance, and Telecom.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS:

Applications will be accepted on a first-come, first-served basis, or until funds are exhausted.

- NYSERDA's focus is on projects that improve manufacturing process productivity and data center efficiency. NYSERDA's performance-based incentives are calculated from the total annual energy savings that result from implementing energy efficiency measures.
 - For example, projects that increase throughput, reduce scrap, improve productivity, and prioritize and optimize server loads all have an energy component and may be eligible for a NYSERDA incentive.
- NYSERDA also provides incentives for improvements to support system efficiency (related to process) such as process cooling, heat recovery, pumping systems, compressed air, air flow management (hot isle/cold isle), and UPS system upgrades.
- O&M incentives are available for projects that deliver verifiable annual energy savings resulting from upgrades or initiatives to improve operations. Projects may involve: Compressed air system leak management, replacement of leaking steam traps, installation of cogged style fan belts, burner tune-up, server power management, air flow controls optimization, or dynamic temperature monitoring and adjustment.

In order to be considered eligible, a facility must pay into the System Benefits Charge (SBC) on their electric bill through one of the following utility companies:

- Consolidated Edison Company of New York, Inc.
 - Central Hudson Gas & Electric Corporation
 - National Grid Generation d/b/a National Grid
 - New York State Electric & Gas Corporation
 - Orange and Rockland Utilities, Inc.
 - Rochester Gas and Electric Corporation
- Projects must qualify for an incentive of at least \$25,000.
 - A facility may receive an incentive for a specific energy efficiency measure either through NYSERDA or a utility company, but not both.

ADDITIONAL RESOURCES:

Website: www.nyserda.ny.gov/ipe

Net Zero Energy for Economic Development

Funding Available: Up to \$15 million

Program Opportunity Notice (PON) 3881

DESCRIPTION

The New York State Energy Research and Development Authority (NYSERDA) has \$15 million of incentives available to support economic development projects across New York State. All projects must demonstrate that the project will help achieve the goals of the Regional Economic Development Council's (REDC's) Strategic Plan or State Priority Issue Areas. The purpose of the funding available in this program is to help the project be designed and operate at net zero energy or net zero carbon performance.

- Projects located in one of the following REDCs must pay into the System Benefits Charge at the site: Capital Region, Central New York, Finger Lakes, Mid-Hudson, Mohawk Valley, New

York City, North Country, Southern Tier and Western New York. Projects located in these regions may apply for Category A or Category B, as described below.

- Projects located in Long Island are not subject to this restriction and may only apply for Category A as described below.

Projects paying into the System Benefits Charge (“SBC”), as well as projects located in Long Island are eligible to apply as per the category requirements below. To be an SBC eligible project, the project must be a New York State electricity distribution customer of one of the following utilities: Central Hudson Gas & Electric Corporation, Consolidated Edison Company of New York, Inc., New York State Electric & Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corporation.

Projects in areas affected by a utility natural gas moratorium may be eligible for enhanced programs in the recently announced Clean Energy Action Plan. This includes Consolidated Edison Company of New York, Inc., (“Con Ed”) customers in Southern Westchester and New York State Electric and Gas Corporation (“NYSEG”) customers in Lansing, NY. See the tool located at <http://www.nyserda.ny.gov/ActionPlan> to determine your eligibility. To be eligible for these enhanced programs, Projects must pay into SBC.

Projects may qualify under one of the two following categories:

Category A:

The Net Zero Energy for Economic Development Program provides eligible New York State commercial, industrial, institutional and mixed-use applicants with incentives on a competitive basis, for the construction of, or renovation to existing, buildings designed to achieve net zero energy or net zero carbon performance.

Incentives are available for the incremental cost of design, construction, and installation of all technologies (as compared to the cost to build/renovate to a code compliant standard) utilized to achieve net zero energy performance. Project awards will be up to 70 percent of eligible costs or \$1,000,000, whichever is less. Additional funding may be available to projects that meet certain criteria, depending on availability of funds. Projects sited to pay into the System Benefits Charge as well as projects located in Long Island are eligible to apply under Category A.

Category B:

The Net Zero Energy for Economic Development Program provides eligible New York State community, campus or large-scale private development applicants with incentives on a competitive basis, for the planning of large-scale communities, campuses or developments designed to achieve net zero energy or net zero carbon performance. There is no restriction for building types eligible under this category.

Incentives are available for the cost of planning, design, and technical analysis of community-level, campus-level, or large private development projects that commit to achieve net zero energy or net zero carbon within the boundary of the project. Project awards will be up to 75 percent of the eligible costs, with a minimum project award amount of \$2,000,000 and a maximum project award amount of \$5,000,000. To qualify for this Category, projects must be at least 2 million square feet (of new construction or rehabilitation), or a total project cost of at least \$100 Million. Additional funding may be available to projects that meet certain criteria, depending on the availability of funds. To be eligible for an award under Category B, projects must be sited to pay into the System Benefits Charge.

ELIGIBLE TYPES OF APPLICANTS

Eligible Applicants include, but are not limited to:

- Commercial Facilities (not including multifamily or retail)
- Light-Industrial Facilities
- Food Processing Facilities
- Public and Private K-12 schools
- Colleges and Universities
- Healthcare Facilities
- Agricultural Facilities
- Municipalities (Local Government)
- State Agencies & Other State Government
- Not-for-profit Corporations
- Private Developers
- Mixed Use
- Warehouse and Distribution Facilities
- Waste Water Treatment Plants

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS

Category A:

Net zero energy performance, for Category A projects, is defined as an energy-efficient facility where the actual annual energy used on site is less than or equal to the on-site renewable energy produced. If fossil fuels must be utilized for a project due to energy requirements for process or unregulated loads, the Applicant must demonstrate that there is not an all-electric process that can replace the fossil fuel usage. In this instance, NYSERDA will consider the project's use of the US Department of Energy's publication of A Common Definition for Zero Energy Buildings in determining eligibility.

Net zero carbon performance, for Category A projects, is defined as a highly energy-efficient, all-electric building with passive features, that has enough on-site renewable electricity generation and energy storage available to meet the annual energy consumption minimizing demand from the grid for the building. Buildings which will operate with on-site fuel combustion must only use fuels supplied from clean energy resources. On-site fuel combustion shall be reviewed on a case-by-case basis by NYSERDA to ensure that the use is consistent with a carbon neutral building. Generally, on-site combustion of clean fuels should only be for unregulated and process loads that are unable to be reliably converted to electricity for some reason, or for emergency back-up power purposes and therefore used in extremely limited circumstances.

Projects located in downtown areas where utilities restrict the interconnection of renewable energy technology to prevent back-feeding electricity into the grid, may utilize off-site renewable energy through a durable contractual relationship between the project's owner(s) and the generation systems' owner(s), such as community solar to achieve net zero energy performance.

If the project site cannot accommodate some or all of the renewable energy required for the project, the Applicant may install renewable energy systems on an alternate site owned by the project owner(s) within the same utility territory, and with utility approval that the credits for the renewable energy produced off-site will be applied to the project.

Electric vehicle (EV) charging stations are strongly encouraged to be included in projects. However, it is not required that loads related to EV charging be included in the determination of net zero energy performance.

Incentives will be paid for the incremental cost to design and build the project to net zero energy/carbon performance above the cost of building to the applicable New York State Energy Conservation Construction Code (i.e. the cost of installing a ground source heat pump to heat and cool the building, less the cost of installing a code-minimum heating and cooling system, etc.). The calculation of incentives will include all technologies that contribute to the building achieving net zero energy performance (i.e. energy efficiency, renewable energy, battery storage, electric vehicle charging infrastructure, etc.), thus providing the Applicant with “single-point” access to clean energy incentives for the entire project. Applicants selected for award under this opportunity, will be ineligible to apply for other NYSERDA or utility energy-related incentives for any aspect of the project. Applicants applying for NYSERDA’s Net Zero Energy for Economic Development Program incentives must clearly describe the scope, schedule and budget for the project.

While NYSERDA may consider some design costs that occur prior to award to be eligible, all physical work conducted to make capital improvements to the facility prior to a contract being executed will not be eligible for cost-sharing.

Projects that receive an award under this Net Zero Energy for Economic Development Program will not be eligible to apply for any other efficiency or renewable energy incentives from NYSERDA or their utility. However, Applicants that are not awarded through this competitive selection process may be eligible to participate in NYSERDA’s Commercial New Construction Program, NYSERDA’s renewable energy programs, or utility programs as applicable.

Category B:

Net zero energy performance, for Category B projects, is defined as energy-efficient facilities within a project boundary where the actual annual energy used within the project boundary is less than or equal to the renewable energy produced within the project boundary. If fossil fuels must be utilized for a project due to energy requirements for process loads, the Applicant must demonstrate that there is not an all-electric process that can replace the fossil fuel usage. In this instance, NYSERDA will consider the project’s use of the US Department of Energy’s Common Definition of Zero Energy Buildings in determining eligibility.

Net zero carbon performance, for Category B projects, is defined as highly energy-efficient, all-electric buildings with passive features, located within the project boundary that has enough on-site renewable electricity generation and energy storage available to meet the annual energy consumption minimizing demand from the grid within the boundary. Buildings within the boundary which will operate with on-site fuel combustion must only use fuels supplied from clean energy resources. On-site fuel combustion shall be reviewed on a case-by-case basis by NYSERDA to ensure that the use is consistent with a carbon neutral building. Generally, on-site combustion of clean fuels should only be for unregulated and process loads that are unable to be reliably converted to electricity for some reason, or for emergency back-up power purposes and therefore used in extremely limited circumstances.

Electric vehicle (EV) charging stations are strongly encouraged to be included in communities, campuses, and large-scale private developments. However, it is not required that loads related to EV charging be included in the determination of net zero energy performance.

If the project site cannot accommodate some or all of the renewable energy required for the project within the project boundary, the Applicant may propose to utilize off-site renewable

energy within the same Utility territory through a durable contractual relationship between the project's owner(s) and the generation systems' owner(s), such as community solar to achieve net zero energy or net zero carbon performance.

Incentives will be paid for the incremental cost to plan and/or design a Community, Campus, or large private development project to achieve net zero energy or net zero carbon performance above the cost of traditional project planning expenses.

Projects that receive an award under this Net Zero Energy for Economic Development Program will not be eligible to apply for any other efficiency or renewable energy incentives from NYSERDA or their utility for the same work. However, Applicants that are not awarded through this competitive selection process may be eligible to participate in NYSERDA's Commercial New Construction Program, NYSERDA's renewable energy programs, or utility programs as applicable. For Applicants that are awarded under Category B of this program, the restriction on co-funding is only for the planning and technical assistance work and shall not be deemed to include utility or NYSERDA incentives for the construction costs associated with implementation.

GRANT FUNDS MAY BE USED FOR

Category A:

- Design, Energy Modeling and Integrated Project Delivery
- Energy Efficiency Improvements
- On-site Renewable Energy Systems (photovoltaics, wind, or solar thermal)
- Ground-Source or Air-Source Heat Pumps
- Electric Vehicle Charging Stations
- Battery Storage
- Commissioning
- Or other efficiency or renewable energy technologies, as determined by NYSERDA.

Category B:

- Master/Comprehensive/Site Plan as it pertains to design and energy performance
- Design Parameters as it pertains to energy performance
- Energy Modeling and Technical Analysis
- Development of Zoning Ordinances
- Creation of Bid Documents
- Technical Guidelines & Training for overseeing the installation of energy efficiency measures, renewable energy, energy storage and electric vehicle charging infrastructure
- Case Studies

All Applicants:

At NYSERDA's sole discretion, NYSERDA may determine additional costs to be eligible if the Applicant is able to demonstrate to NYSERDA's satisfaction that these additional cost categories were specifically necessary to achieve net zero energy performance as compared to what would have been necessary to complete a project that complied with New York State Energy Conservation Construction Code, or otherwise result in significant CO₂ savings at the site.

INELIGIBLE APPLICANTS AND ACTIVITIES

Category A:

- Heavy Industrial Facilities
- Residential (including single family and multifamily)
- Retail

- Applicants receiving an award from this opportunity may not obtain incentives through other NYSERDA or utility programs for any efficiency or renewable energy expenses incurred, even if the incentive cap is reached; and
- Applicants may not obtain incentives for measures installed before an application is approved.

Category B:

- Applicants receiving an award from this opportunity may not obtain incentives through other NYSERDA or utility programs for any of the same planning work conducted under this program, however, it is assumed that applicants will be eligible for and receive utility and NYSERDA incentives for the capital costs associated with implementation; and
- Applicants may not obtain incentives for planning and design development, or measures installed, before an application is approved.

ADDITIONAL FUNDING

Category A: Proposed projects that are located on sites that meet any of the following criteria may be eligible for additional funding:

- Gas Constrained Areas: Projects in areas affected by a utility natural gas moratorium as described in Description above, may qualify for an increased incentive cap for up to \$250,000 of additional funding.
- Federal Opportunity Zones: A Federal Opportunity Zone is a low-income census tract with an individual poverty rate of at least 20 percent and median family income no greater than 80 percent of the median area income. Census tracts are selected based on recommendations from the Regional Economic Development Councils, local input, prior public investment and the ability to attract private investment. Designation of a census tract, by New York State, in the Opportunity Zone community development program may be considered for up to \$250,000 of additional funding, if available.
- Brownfield Redevelopment: To promote the cleanup and redevelopment of brownfield sites, projects located on a NYS Department of Environmental Conservation-designated brownfield site may be considered for up to \$250,000 of additional funding, if available.
- Age-Friendly Communities: NYSERDA will promote economic development that improves community health and wellness and supports New York State's Prevention Agenda's priorities. Projects that support age-friendly communities by impacting the ability of individuals to continue living in their communities in a manner consistent with their abilities, and approaches that build toward a future in which every New Yorker can enjoy wellness, longevity, and quality of life in strong healthy communities, may be considered for up to \$250,000 of additional funding, if available.
- Downtown Revitalization Initiative: Each Regional Council may nominate communities for selection in the Downtown Revitalization Initiative (DRI) based on the downtown's potential for transformation of downtown neighborhoods into vibrant communities. Projects located in communities that were selected for the DRI program, should provide evidence as such in their application. Projects within communities that received a DRI Award may be considered for up to \$250,000 of additional funding, if available.
- New York Stretch Code: Communities may adopt NYSERDA's New York State Stretch Code to increase the energy performance of new buildings. Projects located in communities that have adopted the New York State Stretch Code may be considered for up to \$250,000 of additional funding, if available.

Category B: Proposed projects that are located on sites that contain any of the following criteria may be eligible for additional funding up to a maximum of \$1,000,000 in additional funding:

- Gas Constrained Areas: Projects located in areas of the State identified as constrained or in an area affected by a utility natural gas moratorium as s described in Description

above, may qualify for an increased incentive cap for up to \$500,000 of additional funding.

- **Brownfield Redevelopment:** To promote the cleanup and redevelopment of brownfield sites, projects located on a NYS Department of Environmental Conservation-designated brownfield site may be considered for up to \$500,000 of additional funding, if available.
- **Age-Friendly Communities:** NYSERDA will promote economic development that improves community health and wellness and supports New York State's Prevention Agenda's priorities. Projects that support age-friendly communities by impacting the ability of individuals to continue living in their communities in a manner consistent with their abilities, and approaches that build toward a future in which every New Yorker can enjoy wellness, longevity, and quality of life in strong healthy communities, may be considered for up to \$250,000 of additional funding, if available.

ADDITIONAL RESOURCES

For more information, applicants should contact the New York State Energy Research and Development Authority, 17 Columbia Circle, Albany, New York 12203, call (518) 862-1090 ext 3004, email LoriNC@nyserda.ny.gov or visit: <https://www.nyserda.ny.gov/>.

Commercial and Industrial (C&I) Carbon Challenge

Funding Available: Up to \$15 million available

DESCRIPTION

The New York State Energy Research and Development Authority (NYSERDA) has \$15 million of incentives available to support clean energy project portfolios for large Commercial and Industrial customers across New York State. All projects must demonstrate carbon emissions savings and be installed within a 3-year implementation period. The purpose of the funding available in this program is to achieve cost-effective carbon emission reduction by providing large customers with flexible funding streams.

The Commercial and Industrial (C&I) Carbon Challenge provides eligible New York State commercial, industrial, and institutional applicants with incentives on a competitive basis. Applicants identify a carbon savings goal and the requisite dollar award necessary to complete projects capable of meeting that target. Available awards range from \$500,000 to 5 million. The primary evaluation criteria for applications will be the ratio of funding requested to the applicant's carbon savings goal, which must meet or exceed \$22/mtCO₂e.

ELIGIBLE TYPES OF APPLICANTS

Eligible Applicants include, but are not limited to:

- Colleges and Universities
- Food and Beverage Processing
- Health Care Facilities
- Manufacturing
- Mining and Extraction
- Municipal Facilities
- Multifamily Residential
- Not-For-Profit and Private Institutions
- Office Buildings
- Public and Private K-12 Schools
- Retail
- State and Local Governments

- Warehouse and Distribution Facilities
- Wastewater Treatment Plants

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS

Grant funds may be used for any energy or industrial-process related projects that can reduce carbon emissions. These actions include, but are not limited to:

- Energy Efficiency Improvements
- On-site Renewable Energy Systems (photovoltaics, wind, or solar thermal)
- Ground-Source or Air-Source Heat Pumps
- Battery Storage
- Other efficiency or renewable energy technologies.

For certain carbon reduction measures, awardees will be required to meet NYSERDA minimum quality standards and work with NYSERDA approved participating contractors, where applicable.

More information on approved contractors can be found here:

<https://www.nyserdera.ny.gov/Contractors/Find-a-Contractor>.

Selected applicants will work with NYSERDA to develop a 4-year contract agreement commencing in 2020. All carbon reduction projects must be installed within 3 years of agreement execution. The final year will be used to complete any outstanding measurement and verification (M&V), if necessary, and determine final project results.

To provide Applicants with flexible funding, up to 70% of the overall award will be made available as project costs are incurred. NYSERDA and awardees will use the Clean Energy Action Plan and monthly meetings to document expected costs and determine funding requirements, ensuring disbursements are proportional to all project costs anticipated through the Clean Energy Action Plan and align with progress toward carbon savings goal. Participants will be required to provide NYSERDA with invoices for incurred costs and remittance of payment will be at the discretion of the Project Manager.

All remaining funds will be awarded upon completion of M&V conducted by a third-party evaluator and will be subject to readjustment based on the participant's performance relative to their stated carbon savings goal. The table below summarizes the disbursement for each level of performance:

% of Carbon Savings Goal Realized	Remaining Funds Disbursed
< 70%	No additional funds awarded
70 - 80%	50%
80 - 90%	75%
> 90%	100%

Here is an example of a potential project funding allocation: a selected participant is granted a \$2.5 million award and has pledged to save 200,000 mtCO₂e. The awardee incurs \$3.75 million in eligible expenses, however, is only granted \$1.75 million pending M&V (70% of the \$2.5 million award). M&V reveals a total carbon savings of 170,000 mtCO₂e, 85% of the goal. As such, NYSERDA remits 75% of the remaining funding, \$562k, with a total funding amount of roughly \$2.3 million.

Projects that receive an award under the C&I Carbon Challenge program will not be eligible to apply for any other efficiency or renewable energy incentives from NYSERDA or the proposer's utility. However, Applicants that are not awarded incentives through this competitive selection process may be eligible to participate in other NYSERDA or utility programs as applicable.

NYSERDA will have discretion to accept only a portion of the submitted portfolio of projects for funding. Any individual project(s) not selected for funding will still be eligible for alternative NYSERDA or utility incentive program funding.

ADDITIONAL RESOURCES

For more information, applicants should contact Sean Mulderrig at the New York State Energy Research and Development Authority, 17 Columbia Circle, Albany, New York 12203, call (518) 862-1090 ext 3804, email sean.mulderrig@nyserda.ny.gov or visit: <https://www.nyserda.ny.gov/All-Programs/Programs/CI-Carbon-Challenge>.

New York Power Authority

ReCharge New York

Amount available: Up to 144 Megawatts (availability as of 4/1/19)

Description:

ReCharge New York (RNY) is a statewide economic development power program designed to retain or create jobs through allocations of lower cost electricity to businesses and Not-for-Profit Corporations. The majority of the power remaining to be allocated will be for businesses that plan to expand operations in the state or are looking to relocate to New York State. The RNY power program is a valuable tool for promoting economic development within the state. Businesses and Not-for-Profit Corporations are eligible to apply. The program is not available to sports venues, retail businesses, gaming or entertainment related establishments, and places of overnight accommodations.

Allocations of ReCharge New York power will be awarded based on a competitive application process based on legislative criteria. Recommended allocation awards must be approved by the Economic Development Power Allocation Board and the New York Power Authority Board of Trustees. Allocations of RNY power (in kW) will be delivered after the execution of a contract. The contract could be a term of up to seven years and will specify employment commitments and other terms and conditions for retaining the RNY power allocation.

For more information, eligible applicants should call the ReCharge New York Hotline at 888-JOBSNYS (888-562-7697) or email Recharge.NewYork@nypa.gov.

New York State Department of Environmental Conservation

Climate Smart Communities Grant Program

Funding Available: Up to \$11.7 million

Program Description

The Climate Smart Communities (CSC) grant program provides funding for municipalities to perform inventories, assessments, and planning projects that advance their ability to address climate change at the local level and become certified Climate Smart Communities. The

program also supports municipal mitigation implementation projects that reduce greenhouse gas (GHG) emissions from the non-power sector (transportation, refrigerants, food waste, etc.) and adaptation implementation projects (cooling centers, flood plain restoration, emergency preparedness, etc.) that directly address climate change threats or alleviate hazards in the community exacerbated by climate changes. For general information and questions on the Climate Smart Communities program, please contact the New York State (NYS) Department of Environmental Conservation (DEC or Department), Office of Climate Change (OCC), 625 Broadway, Albany, NY 12233-1030, 518-402-8448, climatesmart@dec.ny.gov or see <https://climatesmart.ny.gov/>. For grant specific questions please contact Myra Fedyniak at the DEC OCC, 518-402-8448, email cscgrants@dec.ny.gov or see <https://www.dec.ny.gov/energy/109181.html>.

Eligibility

Eligible Applicants

All municipalities in the State of New York are eligible to apply for funding in response to this request for applications (RFA). For the purpose of this RFA, a municipality is defined as a county, city, town, village, or borough of the City of New York. Political subdivisions such as municipal corporations, school districts, district corporations, boards of cooperative educational services, fire districts, public benefit corporations, industrial development authorities, and similar organizations are not eligible to apply in response to this RFA.

Applicants need not be a certified or registered CSC, nor be working toward CSC certification, to apply for this grant opportunity.

Two or more municipalities, or one municipality and a quasi-governmental entity or non-profit organization, may collaborate on a project. However, one eligible municipality must be designated as the lead applicant and must assume responsibility for the application, contract development and maintenance in the Grants Gateway, performance of work consistent with this RFA, and compliance with the State of NYS Master Contract for Grants or Letter of Agreement. Projects involving a partnership must submit letters, or other written agreements, signed by all parties substantiating the collaboration at the time of application.

Applicants may submit several applications, but no more than one application may be submitted for the same project or project location.

Eligible Project Types and Funding Levels

Implementation Projects

Eligible implementation projects must be climate change adaptation or non-power sector GHG mitigation projects as described below and be located within the State of New York.

Total available - up to \$11,038,554.

Minimum award - \$10,000.

Maximum award - \$2,000,000.

Design and engineering expenses are limited to a maximum of fifteen percent (15%) of the grant request.

No more than fifty percent (50%) of the total available funds for implementation projects will be awarded to municipalities with populations greater than 100,000 or to any single municipality.

If funding in the implementation category remains after all awards in the implementation category are made on the basis of eligibility, program requirements and goals, and passing score, the Department reserves the right to apply the remaining funding to eligible proposals in the certification category.

Adaptation Implementation Projects

Eligible adaptation project types include any project designed to provide a meaningful reduction of risk to residents, infrastructure, and/or natural resources from hazards projected to become more severe or frequent as a result of climate change. Such projects include, but are not limited to the following:

- Increasing or preserving natural resilience, such as construction of living shorelines and other nature-based landscape features to decrease vulnerability to the effects of climate change and to improve or facilitate conservation, management, and/or restoration of natural floodplain areas and/or wetland systems.
- Flood-risk reduction, including, but not limited to, strategic relocation or retrofit of climate-vulnerable critical municipal facilities or infrastructure to reduce future climate-change induced risks to those facilities.
- Replacing or right-sizing flow barriers, including, but not limited to, right-sizing bridges or culverts, or improving flow barriers to facilitate emergency response or protection of population centers, critical facilities, infrastructure, and/or natural resources, based on assessment of projected future conditions.
- Extreme-heat preparation, including, but not limited to, establishment of cooling centers, construction of permanent shade structures, and implementation of other cooling features or programs.
- Emergency preparedness, including, but not limited to, establishment of emergency warning systems or implementation of emergency preparedness and/or response programs (excluding radio communications).
- Enrollment in and completion of activities that are part of the Federal Emergency Management Agency (FEMA) Community Rating System (CRS) program.

Mitigation Implementation Projects

Eligible projects in the mitigation category must provide a meaningful reduction in GHG emissions from the non-power sector. Mitigation projects shall be one of the following project types:

1. Reduction of Vehicle Miles Traveled (VMT). Transportation is the largest source of GHG emissions in New York State. Reducing the need for single occupancy vehicle trips for daily needs will reduce GHG emissions. Reduction of VMT projects include, but are not limited to the following:
 - Construction of on-road or off-road facilities for non-motorized forms of transportation to facilitate access to daily, non-recreational transportation needs and/or commutes.
 - Implementation of transit improvements that have the potential to substantially increase ridership or access to daily needs, and/or increase commuting by mass transit.
 - Implementation of projects or programs to reduce the distance commuted in individual gas-powered vehicles, such as densification or implementation of smart-growth strategies.
2. Reduction of Organic Waste. These projects divert food waste and other organic material from landfills where it produces methane. Projects include, but are not limited to the following:

- Construction or installation of equipment to facilitate acceptance of food waste at existing anaerobic digesters at wastewater treatment facilities or existing composting facilities.
- Implementation or piloting of a food waste pick-up service for residents and/or commercial establishments, prior to delivery to an organics recycling facility.
- Implementation of food donation and food-waste collection in municipal buildings.
- Implementation of onsite composting or anaerobic digestion at municipal facilities.

For food donation programs, infrastructure for the storage and management of edible food, establishment or expansion of residential education and outreach programs concerning food donation, home composting, and other related topics please see the DEC Department of Materials Management Funding Opportunities for Food Pantries and Municipalities at <https://www.dec.ny.gov/chemical/114499.html>.

3. Enhanced Landfill Gas Capture. Methane leakage from landfills is a significant source of GHG emissions. Projects include, but are not limited to, the following:

- Installation of a new or more efficient landfill gas capture system that uses blowers, fans, pumps, or vacuums to induce an area of low pressure allowing for more efficient or additional landfill gas capture and directing the gas to a destruction device such as a flare, internal combustion engine, or pipeline injection for offsite use in place of a passive venting system.
- Installation of methane leak-detection equipment and implementation of programs at landfills to improve monitoring as part of a GHG mitigation plan.

4. Reduction of Refrigerant Use and Leakage. Refrigeration and cooling systems contain fluorinated GHGs which are many times more powerful at trapping heat in the atmosphere than carbon dioxide. Leakage of these refrigerants from refrigeration, air-conditioning, and ice rink equipment is a regular occurrence. Municipalities can reduce or eliminate the harm caused by refrigerants by converting to zero or low global warming potential (GWP) alternatives, instituting leak management systems and repair plans, or providing for the proper disposal of appliances in the community. Projects include, but are not limited to the following:

- Replacement or retrofit of refrigeration equipment, chillers, or air-conditioning systems with alternative refrigerants of the lowest GWP option available. NOTE: Implementation of a leak management system will be required for a grant award to install any system using a refrigerant with a GWP greater than 700. (For reference the most common refrigerants R22, R134a, and R-410a have GWP over 1,400.) Currently, systems that run on ammonia have the lowest GWP. Lists of alternatives and their GWP can be found online on the Environmental Protection Agency website at <https://www.epa.gov/snap/substitutes-centrifugal-chillers>, among others. Applicants should contact potential vendors to determine the available options for low-GWP alternatives in different types of equipment and examine the technical documentation for the associated equipment.
- Installation of refrigerant leakage monitoring equipment and establishment of a monitoring and repair plan.
- Establishment of disposal programs to recover and recycle refrigerants, including those from automobiles, or properly dispose of equipment containing refrigerants.
- Adoption of codes to enable and encourage the use of alternative refrigerants or requirements for proper monitoring, repair, and disposal of refrigerants.

- Establishment of education and outreach programs for businesses within the community that will reduce GHG emissions from refrigerants.

Certification Projects

Certification projects focus on assessments, inventories, and planning activities that are part of becoming a certified Climate Smart Community. Only certain certification actions are eligible for grant funding. These actions create a foundation from which the community may institutionalize adaptation to climate change and mitigation of GHG emissions. They also provide a basis for future grant applications in the implementation category.

Total available - up to \$700,000.

Minimum award - \$10,000, except that up to five grants of between \$2,500 and \$9,999 each may be awarded to municipalities of population sizes less than 40,000.

Maximum award - \$100,000.

No more than fifty percent (50%) of the total available funds for certification projects will be awarded to municipalities with populations greater than 100,000 or to any single municipality.

If funding in the certification category remains after all awards in the implementation category are made on the basis of eligibility, program requirements and goals, and passing score, the Department reserves the right to apply the remaining funding to eligible proposals in the implementation category.

Work plans submitted as part of an application for a project funded under the certification category must include completion of the minimum requirements for the selected certification action(s) as described in the Climate Smart Communities Certification Portal (CSC Portal) [actions page](https://climatesmart.ny.gov/actions-certification/actions/) at <https://climatesmart.ny.gov/actions-certification/actions/> under subheadings “E. How to Obtain Points for this Action” and “F. What to Submit.”

Eligible projects include completion of any of the following CSC certification actions:

- PE2 Action: Government Operations Greenhouse Gas Inventory
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/6>
- PE2 Action: Community Greenhouse Gas Inventory
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/7>
- PE2 Action: Government Operations Climate Action Plan
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/10>
- PE2 Action: Community Climate Action Plan
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/11>
- PE3 Action: Fleet Inventory
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/147>
- PE3 Action: Fleet Efficiency Policy
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/21>
- PE5 Action: Construction and Demolition Waste Policy
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/57>
- PE6 Action: Comprehensive Plan with Sustainability Elements
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/66>
- PE6 Action: Complete Streets Policy
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/74>
- PE6 Action: Planning and Infrastructure for Bicycling and Walking (planning only)
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/75>
- PE6 Action: Natural Resources Inventory
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/82>

- PE7 Action: Climate Vulnerability Assessment
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/85>
- PE7 Action: Climate-Smart Resiliency Planning
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/87>
- PE7 Action: Climate Adaptation Strategies
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/88>
- PE7 Action: Heat Emergency Plan
<https://climatesmart.ny.gov/actions-certification/actions/#open/action/91>

Eligible Expenses

The following expenses are eligible as match and for reimbursement:

- *Personnel Services*: salaries of staff, including fringe, directly devoted to project implementation. Grantees will be required to document date and hours worked and tasks completed via time records.
- *Contractual Services*: Tasks completed by professional and technical consultants (e.g., engineering, planning, and legal services directly related to the project).
- *Equipment*: Purchased, in-kind or rental use of equipment (e.g., backhoe) directly required to implement the project. Purchased equipment will be valued by its actual cost at the time of purchase, rental equipment will be valued at the rate charged and hours used, and in-kind use of equipment will be valued at either the NYS Department of Transportation or Federal Emergency Management Administration equipment rates or documented local equipment rental rates.
- *Travel*: Project related travel costs. Mileage will be reimbursed at the current federal rate and lodging at current state per diem rates for the area. Note that consultants should include travel into the overall cost proposal and not bill the grantee separately.
- *Other*: This category includes supplies and materials, volunteer time, and donated professional services.
Supplies and materials are defined as consumable products needed to directly implement the project (e.g., printing, copying, paving material, crushed stone). Use value at time item(s) were obtained.
Volunteer time is defined as unskilled labor or work performed by professionals or skilled laborers directly on the project, in an area outside their area of expertise. Values for volunteer time must be computed at the minimum wage at the time the work is performed (currently \$13.50 - \$15.00 in NYC, \$12.00 for Long Island and Westchester, and \$11.10 for the rest of New York State).
Donated professional services is defined as work performed by professionals or skilled laborers in their area of expertise directly on the project. For example, a lawyer donating legal services to the project may compute value based on the standard billing rate, but the same lawyer donating time painting walls must calculate the value using minimum wage.
Fees related to accessing tools for climate change adaptation and GHG mitigation for the duration of the project are permissible if directly related to the proposed project (e.g., ICLEI ClearPath, the Temperate tool, GHG software). Approval of these expenses will be made by the DEC during application review.

Ineligible Expenses

The following expenses are not eligible as match or for reimbursement:

- Costs for purchase of zero-emission vehicles and/or installation of electric vehicle service equipment or other charging or clean vehicle re-fueling infrastructure. If interested in

clean vehicles, charging infrastructure, or hydrogen fuel cell filling station grant opportunities please see the Grants Gateway at https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx and search for zero-emission.

- Indirect or overhead costs of the municipality. This category includes but is not limited to rent, telephone service, general administrative support, general-use computers, office equipment, general office supplies, and other general operations costs such as memberships and subscriptions (e.g., newspapers, professional and municipal associations).
- Salaries and other expenses of elected officials, whether incurred for purposes of project direction, execution, or legislation.
- Fund-raising expenses.
- Taxes, insurance, fines, deficit funding, bond interest, and associated fees.
- Contingency costs.
- Federal funds.
- Other NYS funds.

Water Quality Improvement Project (WQIP) Program

Funding Available: Up to \$70 million

DESCRIPTION

The Water Quality Improvement Project (WQIP) program is a competitive, statewide reimbursement grant program open to local governments and not-for-profit corporations to implement projects that directly address documented water quality impairments or protect a drinking water source. This funding is for construction/implementation projects, not projects that are exclusively for planning.

It is highly recommended that all potential WQIP applicants read the WQIP Program Overview, particularly the section for their project type, in its entirety before applying for WQIP funding.

PROJECT TYPES SUMMARY TABLE

Funding is available for the following project types (see project type sections for all information):

Project Type	Maximum Award	Required Match	Eligible Applicants¹	Required Attachment(s)
Wastewater Treatment Improvement	\$1,000,000 to \$10,000,000 depending on project subtype and overall project cost	25% (high priority projects) or 60% (secondary priority projects) of award amount	Municipalities	Budget worksheet Engineering report Project map Sexual Harassment Prevention Certification Form (Appendix A)

¹ The applicant name must exactly match the name of the eligible entity registered in the NYS Grants Gateway. It may not be the name of an individual.

Project Type	Maximum Award	Required Match	Eligible Applicants¹	Required Attachment(s)
Non-Agricultural Nonpoint Source Abatement and Control	\$500,000 to \$3,000,000 depending on project subtype	25% of award amount	Municipalities Soil & water conservation districts	Budget worksheet Project map See Nonpoint Source section for attachments required for certain project subtypes Sexual Harassment Prevention Certification Form (Appendix A)
Land Acquisition for Source Water Protection	\$4,000,000	25% of award amount	Municipalities Soil & water conservation districts Not-for-profit corporations	Budget worksheet Monitoring and enforcement protocol Project map Fiscal reports (programs only) Sexual Harassment Prevention Certification Form (Appendix A)
Salt Storage	\$500,000	50% of award amount	Municipalities Soil & water conservation districts	Budget worksheet Project map Sexual Harassment Prevention Certification Form (Appendix A)
Aquatic Connectivity Restoration	\$250,000	25% of award amount	Municipalities Soil & water conservation districts Not-for-profit corporations	Budget worksheet Landowner agreements as applicable Project map Sexual Harassment Prevention Certification Form (Appendix A)
Municipal Separate Storm Sewer Systems (MS4s)	\$500,000 or \$600,000 depending on project subtype	25% of award amount	Regulated Traditional or Non-traditional MS4s Municipalities Soil & water conservation districts	Budget worksheet Project map Letters of support from participating municipalities Mapping Status Table Catch basin clean-out plan and procedures (if

Project Type	Maximum Award	Required Match	Eligible Applicants ¹	Required Attachment(s)
				available) with vacuum truck applications Sexual Harassment Prevention Certification Form (Appendix A)

INELIGIBLE PROJECTS/APPLICATIONS

Applications are ineligible that:

- Do not address water quality impairments or protect a drinking water source
- Include ineligible activities or costs (**view the section for your project type**)
- Are seeking funds for studies, planning, or design only
- Do not include required attachments (**view the section for your project type for a full list of required attachments**)
- Do not meet the requirements for that project type or subtype
- Are from entities not registered in the Grants Gateway at the time of application
- Are from not-for-profit organizations that do not have a current prequalification in Grants Gateway as of the application deadline
- Fail to meet the minimum scoring criteria as detailed for each project type in this Program Overview. A project must receive an agency score of at least 30 to be eligible for funding.
- Do not show match and a match source, or use ineligible match sources
- Are seeking funds for costs incurred before May 1, 2019

Wastewater Treatment Improvement

ELIGIBLE APPLICANTS

- Municipalities²

DESCRIPTION

Funding is available for wastewater treatment improvements to municipal wastewater systems.

Non-Agricultural Nonpoint Source Abatement and Control

ELIGIBLE APPLICANTS

- Municipalities³

² For the purposes of Wastewater Treatment Improvement projects under this grant opportunity, "Municipality" means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city, town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof (Environmental Conservation Law §56-0101).

³ For the purposes of Non-agricultural Nonpoint Source Abatement and Control projects under this grant opportunity, "Municipality" means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city, town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof. (Environmental Conservation Law §56-0101)

- Soil and water conservation districts (excluding Decentralized Wastewater Treatment Facilities for Failing On-Site Treatment Systems project subtype)

DESCRIPTION

Funding is available for non-agricultural nonpoint source projects or programs that improve a documented water quality impairment, or that protect a drinking water source.

Land Acquisition for Source Water Protection

ELIGIBLE APPLICANTS

- Municipalities⁴
- Soil and water conservation districts
- Not-for-profit corporations⁵

DESCRIPTION

Funding is available to purchase land for the purpose of protecting surface or groundwater drinking water supplies.

SALT STORAGE

ELIGIBLE APPLICANTS

- Municipalities⁶
- Soil and water conservation districts

DESCRIPTION

Funding is available for projects to construct a permanent structure to cover a salt or a salt/sand mixture storage pile.

AQUATIC CONNECTIVITY RESTORATION (Previously Aquatic Habitat Restoration)

ELIGIBLE APPLICANTS

- Municipalities⁷

⁴ For the purposes of Land Acquisition Projects for Source Water Protection under this grant opportunity, "Municipality" means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city, town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof (Environmental Conservation Law §56-0101) .

⁵"Not-for-profit corporation" means a corporation formed pursuant to the not-for-profit corporation law and qualified for tax-exempt status under the federal internal revenue code (Environmental Conservation Law, Article 56-0101 (16))

⁶ For the purposes of Salt Storage projects under this grant opportunity, "Municipality" means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city, town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof (Environmental Conservation Law §56-0101).

⁷ For the purposes of Aquatic Connectivity Restoration projects under this grant opportunity, "Municipality" means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city, town or village, or Indian nation or tribe

- Soil and water conservation districts
- Not-for-profit corporations

DESCRIPTION

Funding is available for projects that improve aquatic habitat connectivity at road/stream crossings or dams.

Municipal Separate Storm Sewer Systems (MS4) ⁸

ELIGIBLE APPLICANTS

- Regulated Traditional MS4s
- Municipalities⁹
- Soil and water conservation districts

DESCRIPTION

Funding is available for mapping projects **or** the purchase of one vacuum truck if your community has not received WQIP funding for a vacuum truck in the past. For now, only one vacuum truck per MS4 will be funded through WQIP.

This grant program encourages and supports cooperation among regulated MS4s to complete mapping of their stormwater systems or to purchase and share the use of a vacuum truck.

Non-Agricultural Nonpoint Source Planning Grant Program

Funding Available: Up to \$1 million

Description

The New York State Department of Environmental Conservation (DEC) will offer grants to local governments and soil and water conservation districts to help pay for the initial planning of non-agricultural nonpoint source water quality improvement projects.

Grants of up to \$30,000 are available to finance planning services to produce planning reports. There is no minimum award amount. An applicant may submit more than one application. If an applicant receives more than one award, DEC may combine the projects into a single contract.

recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof. In the case of aquatic habitat restoration projects, the term municipality shall include the state. (Environmental Conservation Law §56-0101).

⁸ 40 CFR 122.26(b)(16)(i), Small municipal separate storm sewer system means all separate storm sewers that are owned or operated by the United States, a State, city, town, borough, county parish, district, association, or other public body (created by or pursuant to State law) having jurisdiction over disposal of sewage, industrial wastes, storm water, or other wastes, including special districts under State law such as a sewer district, flood control district or drainage district, or similar entity, or an Indian tribe or an authorized Indian tribal organization, or a designated and approved management agency under section 208 of the CWA that are discharges to waters of the United States.

⁹ For the purposes of Municipal Separate Storm Sewer Systems projects under this grant opportunity, "Municipality" means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city, town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York state, or any combination thereof (Environmental Conservation Law §56-0101).

Applicants are limited to a maximum of 10 applications per round. Each application must fit within a single grant category.

The goal of the program is to get non-agricultural nonpoint source water quality improvement projects ready for construction and to use the planning report funded by the grant to seek funding through the Water Quality Improvement Project program or other funding entities.

Those seeking planning grants to support projects to upgrade, repair or replace elements of a wastewater treatment and/or collection system, or the construction of such system for an area with failing onsite septic systems, are referred to the New York State DEC/EFC Wastewater Infrastructure Engineering Planning Grant Program.

Eligible Applicants

- Municipalities¹⁰
- Soil and Water Conservation Districts

The applicant name must exactly match the name of the eligible entity registered in the NYS Grants Gateway. Entities not registered in the Grants Gateway at the time of application will be found ineligible.

Eligible Costs

Funding can be used for the preparation of planning reports, feasibility studies, and supplemental costs as listed by grant category. This includes planning activities to determine the scope of water quality issues, evaluation of alternatives, and the recommendation of an improvement project.

Other eligible costs:

- On-site evaluations
- Any necessary environmental review for the recommended project

Ineligible costs/reports:

- Reports for projects that have already received Water Quality Improvement Project (WQIP) grant funding
- Post installation / follow-up monitoring
- Feasibility reports for algaecide use
- Construction costs
- Reports for projects that have already received funding for planning from another State or Federal source

Grant Categories

Funding is available for the following categories:

1. Decentralized Wastewater Treatment Facilities for Failing On-Site Treatment Systems or Long Island On-Site Treatment Systems that do Not Currently Abate Nitrogen

Eligible costs:

An engineering feasibility study report for decentralized wastewater treatment facilities in areas with failing on-site treatment systems, including the necessary collection and conveyance system; or on-site treatment systems to abate nitrogen pollution in Nassau and

¹⁰ For the purposes of this grant, “municipality” means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city, town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof.

Suffolk counties. The decentralized wastewater treatment facility must consist of a subsurface treatment and disposal system designed in accordance with Department standards. Collection may take the form of either a septic tank effluent pump (STEP) or septic tank effluent gravity (STEG), grinder pump or gravity sewer system. An engineering feasibility study report may include conceptual designs and any necessary percolation tests.

2. Green Infrastructure Practice/Stormwater Retrofits¹¹

Eligible costs:

An engineering feasibility study report for projects that: construct green infrastructure to address combined sewer overflows, reduce a pollutant impacting a receiving water body, or address a regional water quality issue; or install green infrastructure retrofits designed to capture and remove the pollutant causing a water quality impairment. Green Infrastructure practices include, but are not limited to, bioretention, rain gardens, flood plain benches, flood plain reconnections, constructed wetlands, porous pavement, green roofs, downspout disconnection, stormwater street trees, stormwater harvesting and reuse, and stream daylighting. All Green Infrastructure projects must be designed in accordance with the 2015 New York State Stormwater Design Manual and must go above and beyond the water quality volume treatment and/or reduction requirements listed in the SPDES Construction General Permit. An engineering feasibility study report may include conceptual designs and infiltration tests.

3. Great Lakes Nature-Based Shoreline Projects

Eligible costs:

A project plan and conceptual design report for qualifying nature-based or “soft engineering” shoreline stabilization projects located along the open shorelines and embayments of Lake Erie, Lake Ontario, the St. Lawrence River, Niagara River and the Finger Lakes to reduce erosion, enhance coastal resilience and improve water quality and coastal habitat. Nature-based shoreline projects must incorporate natural features and materials alone or in combination with a minimal use of structural components to manage erosion and stabilize shorelines, while enhancing aquatic habitat, natural coastal processes and access to the extent practicable or desired. Nature-based shoreline stabilization projects may include, but are not limited to, natural buffer zones, constructed or restored wetlands, “living” sills or breakwaters, beach and dune restoration and/or nourishment, nature-based stabilization techniques such as tree/rootwad revetments, live crib walls, and vegetated geogrids.

4. Streambank Stabilization

Eligible costs:

An engineering design report for projects to address sedimentation of waterbodies caused by erosion of streambanks. Streambank stabilization practices include but are not limited to staking, erosion control matting, root wads, and rip-rap. Rip-rap may only be used in conjunction with natural restoration principles that incorporate vegetative materials.

5. In-Waterbody Controls for Nutrients

Eligible costs:

¹¹ Green infrastructure practices generally slow, hold and/or infiltrate water on the landscape in a manner that abates pollution contained in stormwater and/or limits the erosive force of stormwater that results in sedimentation and associated pollution.

- A feasibility study or engineering report for projects that reduce internal loading of nutrients (mainly phosphorus) within waterbodies. Eligible practices to address these issues include: hypolimnetic aeration, aeration destratification systems for polymictic lakes, hypolimnetic withdrawal, and dredging.
and/or
- A professional study report that provides justification for use of the best management practice (BMP) recommended by the above feasibility study or engineering report. For destratification systems, the professional study must identify the waterbody as a polymictic lake.
and/or
- A written plan report for the long-term operation and maintenance of the BMP recommended by the above professional study or engineering report.

6. Beach Restoration

Eligible costs:

- Beach sanitary survey¹²
and/or
- A feasibility study or engineering design report for projects to implement designs recommended in beach restoration green infrastructure design reports. Projects may include, but are not limited to, porous pavement, bioinfiltration/bioretenion, rain gardens, stormwater tree trenches, greenways, beach re-naturalization, beach sand enrichment/nourishment, beach sloping/grading, constructed wetlands.

7. Culvert Repair and Replacement

Eligible costs:

- Culvert site assessment report for projects to address erosion caused by failing or inadequately sized or failing culverts.
and/or
- An engineering feasibility study or engineering design report for culvert repair or replacement projects to address erosion.

Contact

NYS Department of Environmental Conservation, Division of Water
Lauren Townley, 518-402-8283

DEC/EFC Wastewater Infrastructure Engineering Planning Grant Program

Funding Available: Up to \$3 million

Description

The New York State Department of Environmental Conservation (DEC), in conjunction with the New York State Environmental Facilities Corporation (EFC), will offer grants to municipalities to help pay for the initial planning of eligible Clean Water State Revolving Fund (CWSRF) water quality projects. Up to \$3 million has been made available for this round of the Wastewater Infrastructure Engineering Planning Grant (EPG) program.

¹² The beach sanitary survey report may provide support for conceptual designs under Grant Category 1, above.

Grants of up to \$100,000¹³ are available to finance engineering and planning services for the production of an engineering report.

The ultimate goal of the EPG program is to advance water quality projects to construction so successful applicants can use the engineering report funded by the grant to seek financing through the CWSRF program, Water Quality Improvement Project program, or other funding entities to further pursue the identified solution.

Eligible Applicants

- Municipalities as defined in the Definitions section of this document; and
 - Median household income (MHI) of the municipality must be:
 - Equal to or less than \$70,000 according to the United States Census, 2017 American Community Survey for municipalities located in Regional Economic Development Council (REDC) regions of Capital District, Southern Tier, North Country, Mohawk Valley, Central NY, Finger Lakes, or Western NY; or
 - Equal to or less than \$90,000 according to the United States Census, 2017 American Community Survey for municipalities located in REDC regions of Long Island, New York City and Mid-Hudson.
- A summary of the United States Census, 2017 American Community Survey MHI data can be found on the EPG page on the EFC website at www.efc.ny.gov/epg.
- Municipalities may have no more than two active EPG awards at the same time. An active EPG award includes a project that has been awarded funding and is awaiting an executed grant agreement or currently has an executed grant agreement with EFC.

Eligible Activities

Funding can be used by municipalities for the preparation of an engineering report¹⁴. This includes planning activities to determine the scope of water quality issues, evaluation of alternatives, and the recommendation of a capital improvement project. In addition, the costs to conduct an environmental review for the recommended alternative are eligible. Design and construction costs are not eligible.

Priority will be given to municipalities proposing planning activities that are:

- required by an executed Order on Consent; or
- required by a draft or final State Pollutant Discharge Elimination System (SPDES) permit (e.g. nutrient removal, inflow and infiltration, disinfection); or
- upgrading or replacing an existing wastewater system; or
- constructing a wastewater treatment and/or collection system for an area with failing onsite septic systems; or
- addressing a pollutant of concern in a watershed implementation plan (i.e. Total Maximum Daily Load (TMDL), Nine Element Watershed Plan, or DEC HABs Action Plan).

Requirements

The report must follow EFC's current Engineering Report Outline, consider storm and flood resiliency (sea level rise, storm surge, potential for flooding impacts, or other extreme weather event)¹⁵ and a comprehensive analysis of the following alternatives:

- No-action alternative

¹³ See the "Grant Award Details" section of this document for details of funding amounts.

¹⁴ See the "Definitions" section of this document for specific information on the required contents of the engineering report.

¹⁵ Must be consistent with the NYS Community Risk and Resiliency Act.

- Green infrastructure, in combination with gray infrastructure or individually, is required for projects involving stormwater, including stormwater inflow to sewer systems. A justification must be provided if a green infrastructure component is not part of the recommended alternative.
- Repair or replacement versus new construction
- Regional consolidation opportunities
- Centralized versus decentralized (for new systems), or a combination thereof (small cluster or individual systems)

Any alternatives considered technically infeasible should be identified as such and the rationale briefly discussed.

Smart Growth alternative(s) must be considered and documented in the engineering report.

Ineligible Planning Activities

- Projects that do not lead to the restoration or protection of a surface waterbody or groundwater.
- Projects that do not address improvements to a publicly-owned treatment works.¹⁶
- Projects and scope that are listed on the 2019 CWSRF Intended Use Plan Annual Project Priority List.

Grant Awards

There are three grant award categories, as listed below, for the planning of wastewater infrastructure projects. The first two categories are for any wastewater infrastructure-related planning activity, including disinfection. The third category is limited to inflow and infiltration evaluations as a result of an Order on Consent or SPDES Permit Compliance Schedule

Category 1 - \$30,000 Grant

- Population of Municipality: 50,000 or less according to the United States Census, 2017 American Community Survey. Population data can be found on the EFC website at www.efc.ny.gov/epg.

Category 2 - \$50,000 grant

- Population of Municipality: Greater than 50,000 according to the United States Census, 2017 American Community Survey. Population data can be found on the EFC EPG website at www.efc.ny.gov/epg.

Category 3 - \$100,000 grant (only for inflow and infiltration projects as a result of an Order on Consent or SPDES Permit Compliance Schedule)

- Population of Municipality: no limit

¹⁶ In accordance with the laws, rules and regulations governing the CWSRF, projects defined in the federal Clean Water Act, Section 212 as treatment works must be publicly-owned. See the "Definitions" section of this document on what is considered an eligible publicly-owned treatment works activity.

Multiple Application Submissions

EFC/DEC reserve the right to limit the number of awards per municipality to one per Round. If an applicant chooses to submit multiple applications for their municipality, please prioritize the applications. Please note, municipalities may only have two active EPG awards.

Additional Resources

- NYS EFC engineering report guidelines: <https://www.efc.ny.gov/EPG>

Environmental Facilities Corporation

Green Innovation Grant Program

Funding Available: \$15 million

DESCRIPTION:

The Green Innovation Grant Program (GIGP) provides grants on a competitive basis to projects that improve water quality and implement green infrastructure in New York State. GIGP is administered by the Environmental Facilities Corporation (EFC).

Green infrastructure improves water quality by reducing and treating stormwater at its source through infiltration and evapotranspiration. Green infrastructure also provides multiple environmental, economic, and social benefits, which include: filtering pollutants, recharging aquifers, rivers and streams, alleviating flooding, preserving wildlife, restoring habitat, cooling the surrounding environment, reducing air pollution, and decreasing energy usage.

Projects selected for funding go beyond offering a greener solution. They maximize opportunities to leverage the multiple benefits of green infrastructure, spur innovation in the field of stormwater management, build capacity to construct and maintain green infrastructure, and/or facilitate the transfer of new technologies and practices to other areas of the State.

ELIGIBLE APPLICANTS:

- Municipalities
- Private Entities
- State Agencies
- Soil and Water Conservation Districts

Eligible applicants may submit more than one grant application. However, EFC reserves the right to limit GIGP funding to one grant award per applicant.

ELIGIBLE ACTIVITIES / COSTS:

Eligible project costs as estimated in the application must provide improvement or protection of water quality through one of the following eight specific green infrastructure practices:

Bioretention

Downspout Disconnection

Establishment or Restoration of, Flood plains, Riparian buffers, Streams or Wetlands

Green Roofs and Green Walls

Permeable Pavements

Stormwater Harvesting and Reuse

Stormwater Street Trees / Urban Forestry Programs Designed to Manage Stormwater

INELIGIBLE ACTIVITIES / COSTS:

Ineligible activities and costs include, but are not limited to, the following:

- Hardening, channelizing or straightening streams and/or stream banks
- In-line and end-of-pipe treatment systems that only filter or detain stormwater
- Stormwater controls that have impervious or semi-impervious liners and provide no compensatory evapotranspirative or harvesting function for stormwater retention
- Stormwater conveyance systems that are not soil/vegetation based (swales) such as pipes and concrete channels
- Stormwater ponds that serve an extended detention function and/or extended filtration, including dirt-lined detention basins
- Underground stormwater control and treatment devices such as swirl concentrators, hydrodynamic separators, baffle systems for grit, trash removal/floatables, oil and grease, inflatable booms and dams for in-line underground storage and diversion of flows
- Green infrastructure practices which are being implemented to comply with the requirements of the New York State Department of Environmental Conservation SPDES General Permit for Stormwater Discharges from Construction Activity Permit No. GP-0-15-002 ("Permit"). (Note: practices which are over and above Permit requirements will be considered for funding)
- Wetlands construction or restoration required as compensation (mitigation) for adverse impacts to wetlands or other environmental damage caused through construction activities. This ineligible category includes both tidal and freshwater wetland mitigation projects
- Purchase of Capital equipment such as street sweepers, sewer cleaners, and vector trucks
- Project costs not directly attributable to water quality including: asbestos abatement and site amenities e.g. bus shelters, benches, light poles, traffic devices, etc.

ADDITIONAL RESOURCES:

For more information, visit <http://www.efc.ny.gov/gigp>

Federal Industrial Development Bond Cap

Industrial Development Bond Cap Program

Available Funding: Up to \$300 million

DESCRIPTION:

Up to \$300 million of the 2019 statewide private activity bond allocation ("volume cap") authority under Federal guidelines will be dedicated to facilitate lower cost tax-exempt bond financing for qualified projects by authorized State and/or local government issuers.

ELIGIBLE APPLICANTS/PROJECT TYPES:

In order to receive the benefits of a tax-exempt interest rate, private borrowers and their projects must be eligible under one of the federally-recognized private activity bond categories described in the Internal Revenue Code (IRC) sections 142-144, and 1394.

The most common economic-development related private activity bonds include:

- Industrial Development Bonds for small (\$10 million or less) manufacturing projects; and
- Exempt Facility Bonds, which cover a wide range of facilities including:
 - Airports;
 - Mass commuting facilities;
 - Qualified residential rental projects;
 - Facilities for the furnishing of local electric energy or gas;
 - Local district heating or cooling facilities; and
 - Sewage facilities and solid waste disposal facilities.

Projects must meet the eligibility requirements of the federal IRC and any laws, rules, or regulations governing the provision of financial assistance by the authorized issuer. In addition, special consideration shall be given to projects supporting Regional Economic Development Council Opportunity Agenda priorities and Downtown Revitalization Initiative projects.

CONTACT/ADDITIONAL PROGRAM INFORMATION:

For more information eligible applicants should visit

<http://www.empire.state.ny.us/BusinessPrograms.html>

or contact George LaPointe at Empire State Development by calling (518) 292-5307.